

**MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
MARCH 10, 2000, IN THE ALUMNI HOUSE,
1925 F STREET, NW**

The meeting was called to order by President Trachtenberg at 2:15 p.m.

Present: President Trachtenberg, Vice President Lehman, Registrar Selinsky, and Parliamentarian Pagel; Deans Lefton and Phillips; Professors Boswell, Captain, Castleberry, Cawley, Duff, Gallo, Granger, Griffith, Haque, Harrington, McAleavey, Mergen, Nagy, Park, Robinson, Sheldon, Stephanic, Wilmarth, and Zaghloul

Absent: Deans Futrell, Harding, Mazzuchi, Riegelman, Williams, and Young; Professors Agnew, Berkowitz, Hoare, Johnston, Moses, Pelzman, and Simon

APPROVAL OF THE MINUTES

The minutes of the regular meetings of January 21 and February 4, 2000, were approved as distributed.

CHANGE IN ORDER OF BUSINESS

Professor Griffith noted that the Senate had been informed by the Ad Hoc Committee that it will ask that its Resolution (99/6) concerning sexual harassment policies and procedures, on the agenda today, be postponed until the April 14th Senate meeting. Therefore, he moved that the order of business be changed to allow the Special Report of the Fiscal Planning and Budgeting Committee to be presented today as an item of business, the report having been circulated to Senate members prior to this meeting. The motion was seconded. The President asked if there were any objections to Professor Griffith's motion. No objections were made, and the change in order of business was approved.

ANNUAL REPORT ON RECRUITMENT AND APPOINTMENT OF WOMEN AND FACULTY OF COLOR BY VICE PRESIDENT DONALD R. LEHMAN

The Annual Report on the Recruitment and Retention of Women Faculty and Faculty of Color was distributed by Vice President Lehman. He thanked Assistant Vice Presidents Peggye Cohen and Annie Wooldridge, and their staffs, for their very hard work in preparing this Report each year. One important caveat relative to the Report, he said, is that the data does not include the deans or administrators with faculty rank, visiting faculty, except where explicitly noted, and non-tenure-accruing instructors in the School of Medicine. At this particular point in time which is more than a year ago, Vice President Lehman noted that we had 150 authorized searches for faculty that resulted in 111 hires at the University; 67 were regular full-time appointments, and 44 of those were visiting

appointments. He then summarized the outcomes of the recruitment activity as reflected in the Tables in the Report. Although the data illustrates that it is important to examine the profile of the faculty on an annual basis, he said that long-run trends are a better measure of our degree of success or failure. As reflected in the Report, he pointed out that even though we continue to show long-term gains in the number of women faculty and faculty of color, we are concerned about achieving further increases, particularly since the percentage of Black and Hispanic faculty members has not increased substantially over the past eleven-year period. He noted that a new section, "School Activities," has been added to the Report. The schools have been asked to talk about the programs they have instituted to improve recruitment and retention of women faculty and faculty of color, and some illustrative examples are included in the Report. (The Annual Report is attached.)

President Trachtenberg pointed out that the administration has had for an extensive period of time an offer on the table from Rice Hall to the deans and department chairs with regard to the University's determination to recruit more African American faculty to the University, i.e., in schools and departments that do not have a conventional entitlement to a tenure line. The administration would consider creating such a tenure line, working with the deans to identify the funding for such appointments. We are looking for first-rate persons of equivalent caliber to those conventionally identified in a national search where those individuals are in the top three or four of the candidates that apply, but they need not necessarily be the top choice -- essentially providing an opportunity for a department to have a double hire. He said that there have been examples where the administration has had this opportunity presented to it by a department, and that it has, in fact, made both appointments. He stressed that this offer ought to be repeated periodically because it may be that it is not carried forward from outgoing department chairs to incoming department chairs, and he thought it a significant piece of data considering Vice President Lehman's Report today.

Professor McAleavey asked Vice President Lehman if he had any comparable data for adjunct faculty because of the hypothesis that a larger percentage of adjunct faculty are women. Vice President Lehman responded that to the best of his knowledge that kind of data has never been assembled, but that he would do that. Professor Granger asked if data has been kept on the number of tenure denied. Vice President Lehman replied that he has that data and would be glad to share it. Professor Captain noted that the numbers in the Report basically indicate that the University is in keeping with those across the country. However, she said, her assumption is that GW is not on target with other universities in the Washington, DC, metropolitan area, and she asked if that kind of study could be done. Vice President Lehman replied that that could be done. President Trachtenberg pointed out that, if such a study is going to be made, it must be recognized that to some extent the data are an artifice that reflect the collection of programs that one has at its institution. For example, a school of engineering is more likely to have a significant representation of males, whereas, a school of education would likely have more females, so it would be necessary to break these data out discipline by discipline.

RESOLUTIONS

RESOLUTION 99/6, "A RESOLUTION TO ENDORSE THE POLICIES AND PROCEDURES GOVERNING SEXUAL HARASSMENT COMPLAINTS"

Professor Gallo, Co-Chair of the Ad Hoc Committee, said that the Policy and Procedures on Sexual Harassment Complaints were approved by the Ad Hoc Committee on January 10th. Subsequently, members of the PEAFC Committee have informally met and expressed considerable concerns about the Policy and Procedures. In addition, some members of the Law School also expressed these concerns. As a result, she said that the Ad Hoc Committee agreed to review these concerns, and this review may lead to some changes in the language in the Policy and Procedures. Professor Gallo moved that the Senate postpone action on Resolution 99/6 until the April 14th Senate meeting. The motion was seconded, and passed. (Resolution 99/6, postponed to April 14, 2000, attached.)

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

SPECIAL REPORT ON FY2000 FIVE-YEAR CAPITAL BUDGETS BY THE FISCAL PLANNING AND BUDGETING COMMITTEE

Professor Sheldon, Chair, Fiscal Planning and Budgeting Committee, called upon Professor Griffith, immediate past Chair, to present the Special Report. Professor Griffith first expressed his thanks to Associate Vice President Don Boselovic, who worked with the FP&B Committee in preparing this report, and also to Vice President Louis Katz, who provided the Committee with the original budget report. Professor Griffith said that it seemed to him the motivation the Senate might have for devoting some attention to this budget is because there is a very large increase in the 5-year capital budget that has consequences for the operating budget. To paraphrase a former Republican leader of the Senate: "a half a billion here and a half a billion there, pretty soon you're talking about real money." In the past, he said, the FP&B Committee has presented a report to the Senate annually, basically looking at the operating budget. But because of remarkable changes in the capital budget, the Committee thought it would be worthwhile preparing a special report to draw attention to that aspect, although he thought that the Committee will still make an annual report that will look more closely at the operating budget. (The Special Report is attached.)

Professor Griffith then summarized the 5-year capital budgets as follows:

I. FIVE-YEAR PLANNING ASSUMPTIONS (pp. 18-19)

The target of 1800 freshmen and 250 transfer students has already been raised by 100 for next year which affects the revenue assumptions. The Mount Vernon campus is projected to begin generating surpluses and beginning to pay off the debt, but it is really only paying off a

portion the University's total investment, i.e., the \$16.3 million that was borrowed. The Health and Wellness Center is projected in the out-years to be running at a deficit, which suggests why the University is eager to place a new "tax" on the faculty for use of the Center.

II. NEW INITIATIVES, OPERATING AND CAPITAL BUDGETS (pp. 20-23)

A. Measures to Raise Revenues

There is a brief summary of what the University sees itself as attempting to undertake with a lot of emphasis on the provision of new student residences apparently to house about 65% of the undergraduate population when they have brought all of the different sites online. The administration originally considered an idea of establishing a for-profit subsidiary ("NEWCO"), now reconfigured as a non-profit, non-credit unit in the area of Academic Development and Continuing Education. A now unlikely expected revenue figure of \$2.5 million was plugged in for FY01, and consequently enrollment targets will be raised to compensate for next year's shortfall. The Mount Vernon campus is projected to bring in \$1 million in revenue from summer camps and pool memberships, for example. The old Hospital site does exist, but there are really no definite plans for how it will be used to raise revenue or what portion of it will be used for academics or other purposes.

B. Increases to Annual Operating Expenses

There is really not anything in the new initiatives that addresses the problems that have been identified about the funding for the Gelman Library. A relatively small amount of authorized expense increases will go directly to academic budgets, but most of that is for undergraduate retention measures, which have not been clarified. Even these expenditures are tied to revenue projects, and may not be realized. A summary of debt service for new initiatives is contained in Appendix A, to be presented by Professor Kwoka.

III. SUMMARY OF FIVE-YEAR BASE CAPITAL BUDGET (p.27)

This budget has \$32.4 million in renovation and repair expenditures, which includes Mount Vernon as well. This is a separate budget from the "major developments budget."

IV. MAJOR DEVELOPMENT PROJECTS (pp. 31-34)

A. Expenditures

These are broken into two groupings: projects already in FY99, and new projects in FY00. About 58%, or \$271.5 million, is associated with projects included in the FY99 budget. One needs to check the 5-year outlays on p.34 to see which projects are currently being funded. For example, there is \$45 million listed for a science building but no outlays are planned for that in this period. Also, an "Engineering Building," new to this budget, again has no outlays scheduled in this time interval, whereas the new residence hall (500 beds) will be completed by FY02. Some of these projects are contingent on fundraising, particularly Law, Virginia Campus, and SBPM buildings, for some portion of these buildings. For new projects in FY00, there is \$71 million for the acquisition and renovation of the AGC site (1957 E Street between 19th-20th); 30-40% will be the site of additional residential hall; the remainder will be the site of an academic building. The NALU building (1922 F Street) was purchased by the University (\$30.2 million) for administrative uses, generating some savings in rental of office space, but could be reviewed for possible additional classroom development.

B. Funding Sources

On the funding, \$350 million will be funded with debt, with the remainder tied to fundraising and a drawdown of the endowment funds. Professor Kwoka will discuss this in detail shortly.

Professor Griffith then turned to Appendix B. Projected Additions to the General Purpose Classroom Inventory, prepared by Associate Vice President Linebaugh. Professor Griffith said that he thought it was important that the Senate have that data available, in the context of all this building, to see how much is actually going to provide additional classrooms. For instance, the faculty essentially get 6 classrooms from the Media and Public Affairs Building; from the AGC site (1957 E Street) quite a few classrooms, but there will be 2 classrooms of 300 plus seats, 1 of 150, and 1 of 100 seats. He thought that the FP&B Committee might like to invite the attention of the Senate's Educational Policy Committee because it seemed to him that it is a significant change in the way we deliver education to go to 300 seat classrooms. At this point, Professor Griffith yielded the floor to Professor John Kwoka to present Appendix A on the debt service.

Professor Kwoka said that what Appendix A, prepared by Professor Lindahl of Accountancy and himself, addresses are the implications of the \$471 million in additional capital expenditures for the University's operating budget over the next several years. He explained that the additional capital expenditures are financed in essentially 4 different ways: 74% will be financed by new debt; another 25-26% will come from a combination of a direct allocation from the operating revenues of the University, from drawdowns of the endowment, and from additional fund-raising. In 1998, just prior to the 2-step increase in major capital expenditures, the total consolidated debt was \$258 million. The budget projects that by FY03 this will rise by 76% to a total of \$455 million. In 1998 the University debt service was \$16.7 million, or just under 5% of the University operating revenues. This rose to \$19.8 million in FY99, a little over 5%, and by FY03, it is projected to rise under revised figures to \$34.8 million, which will represent just over 8% of the operating revenues of the University. The debt service, he said, will rise a total of \$16 million over a 2-year cycle. Debt service on consolidated debt associated with the Medical Center and endowment is scheduled to rise from \$31.2 million to \$48.3 million during this 5-year budget cycle, which is a 55% increase.

Professor Kwoka said that the rise in debt has caused Moody's to revise the debt rating for GW, despite several strengths that are listed in that report this past November. Moody's downgraded the University's debt from A-1 to A-2, specifically due to the increase in leverage that is involved. The University, according to Moody's, will become the most highly-leveraged private university in Category A-2. He said that the cautionary notes have to do with the continued losses at the Medical Center.

In addition to debt service, Professor Kwoka said that there will be an allocation to the capital account from operating revenues. This amount is highly variable, but over the 1994-99 period, this averaged just under \$7 million; by FY03, this is scheduled to rise to \$22 million. Therefore, he said the total of debt service plus capital allocation is going to grow

from about \$23 million to about \$56 million, essentially requiring the University operating budget to generate additional revenues to contribute to the expenditure program in the amount of approximately \$33 million over the cycle. He said that this will end up constituting about 12% of the University operating revenues, up from the historical average of about 7%.

Professor Griffith indicated that the members of the FP&B Committee would be willing to respond to any questions the Senate members might have. President Trachtenberg asked what all of this means. Professor Griffith replied that the Committee has not adopted a position, but there is concern about the amount of debt that the University plans to take on, and the Committee thought that the Senate members would like to know about it in order to have some ability to assess what is going on. He said he thought the Senate would be happy to have the President give his perspective on it.

Professor Sheldon said that she thought that debt is a very positive thing -- it enables the University to grow and prosper. If there is a concern, she said that it would be about the financial flexibility of the University's revenues. In other words, debt is fine as long as there is financial flexibility, i.e., an ability to shape your revenues to handle that additional debt load. She said that the financial flexibility is not clear at this time because the Committee has not done the full report on the financial flexibility position of the University, but expects to report further at the May Senate meeting.

In response, President Trachtenberg made the following remarks:

This report is actually accurate enough that it would be quibbling to correct small numeric errors. But ultimately the question is what are we about here? I think that these numbers, absent some context, only tell you a portion of the story, and, indeed, well less than half.

Different administrations, different presidents, vice presidents, and deans might have made some different decisions along the way, but I think that it is instructive to indicate from our point of view that what we have been responding to in this administration are the instructions which come from the deans and from the faculty about the built University that they would like in order to administer, house, and advance their academic programs. We are also subject to external pressures -- accrediting bodies of one sort or another whose recommendations we are obliged to take seriously in order to run the University -- and we are not immune to opportunity. For example, I think it is fair to argue that there is no way that George Washington University could have come into compliance with Title IX with regard to equal opportunity for women in intercollegiate athletics absent the acquisition of Mount Vernon College or a similar facility that will permit us to provide for women the twelve tennis courts, softball field, soccer field, and hockey field. Is this the absolutely only way we could have worked our way through that? Of course not.

But at some point, somebody has to make a decision -- the facility was available, we thought the price was right, and it allowed us not only to take care of Title IX, but has given us additional student housing, classroom space, and faculty offices.

In all of the meetings I have had with faculty, the persistent issue is space. Whether it's the Law School, or the Anthropology Department, or the School of Media and Public Affairs, I regularly hear about the need for faculty offices and for additional classrooms. We need additional laboratory space for our sciences, and we need additional housing for our students. Again, different decision-makers would perhaps order these decisions in other ways. But I think it's fair to say that the positive comments that are made in the Moody's report about the expanded number of applications to GW and the increasing quality of those applications, reflect in some measure the decisions made over the past decade to renovate classrooms, build our laboratories, and create additional student housing space.

So, here we are. The question is: Are we taking risk? Yes, we are. Do we take risk if we don't take on debt? I think the answer is yes, we are. And what it comes down to is, do we commit acts of omission, or acts of commission, and do we seize an opportunity when it is presented? It is, as I think you can intuit from this document, a Rubik's Cube, the decision-making moving horizontally and vertically. For example, we don't yet have any plans for the use of the old Hospital site. We thought that, once we broke ground for the new Hospital, there would be sufficient time until they built the new building for us to figure out what we wanted to do with it and develop an architectural plan and make a proposal to the City. And frankly I thought it was a little bad luck to start planning the replacement of the old Hospital before we had even put a shovel into the ground for the new one. But I think you ought to know that the concerns you have are not yours alone. All in the administration share them, me principally, because if things work out I know I will get a modest thank you from the Senate, but if things don't work out, I know you are going to be harsh with me. And, moreover, there are other stakeholders. While your concerns are obviously most immediate and heartfelt, the Board of Trustees also likes to think that that is the wisdom they bring to the University. As you know, we have, I think, an appropriately humble Board of Trustees. They rarely intervene in academic issues and, where an issue comes up, they generally accede to the advice of the administration and the faculty. When it comes to financial matters, however, they think they know something that we, perhaps, don't know. I am not sure that that is true, but in any case they bring a corporate eye to these conversations, and they are particularly sensitive that, if we get into financial distress, they are ultimately going to be held accountable by the world, and accountable by you. We are pushing the envelope, there is no question about that.

What are we doing? If we have the ambitions that the faculty and the deans tell me they have to create a better University, and you can discuss what that means, what it clearly means are enhanced facilities that permit the faculty and the students to

do what they came here to do, then we've got to be able to take some risk. Is it better to launch these initiatives when the economy is strong and when there is confidence by the Board of Trustees in the economy, and when the plausibility of fund-raising is better than when the economy is bad. Or do we wait until some later date when perhaps the economy is softer? I can't speak for other institutions, but it seems to me that our agenda, for those of you who go back to olden times and remember the Year 2000 Report, which was generated at this institution before my appointment, is very much what the institution said it needed in the next administration, that is to say, new buildings and new facilities. So, this administration has tried to respond.

Can I tell you we are not going to go further? I can't. Because I cannot tell you what opportunities are going to become available. Now, clearly, there is some point beyond which prudence simply won't let us go, notwithstanding the wonder of some opportunity. But if we can make a financially sound case for acquiring certain kinds of properties, we probably will. It is also important to distinguish between capital projects and capital projects. Capital projects which are housing-related have an income source, and we attribute the rents from the students to the debt. And I think all of us have a comfort factor with that. Apartment houses or hotels in this part of the City, if acquired and turned into residence halls for students, could be, if need were upon us, put back into the market. Academic space tends to be more specialized, having pretty much one use, and the cost of maintaining it falls to the University's bottom line, and needs to be distinguished from housing. I would only suggest that this is a complicated matter, and to the extent that the faculty can help to inform our deliberations, I want to assure you that your comments would be most welcome. I don't believe that anything you said or did would ever take the responsibility ultimately off the backs of the administration, but it would be nice to have you to cling to if it turned out that we made some decisions that you recommended that subsequently turned out to be less than opportune.

Professor Kwoka noted that when the capital budget for FY99 was issued, he thought that there was very little reaction or response from the faculty. But two things have happened in the last six months or so. One is that the capital budget has substantially increased and operating revenues have fallen short of the budget. The prospect of an additional 100 more undergraduates puts pressure on classrooms, dormitories, Marvin Center, Library, etc. And that is the concern, he said. Having to resort to the increase in enrollment early in the 5-year plan is what has caused the Fiscal Planning and Budgeting Committee to bring this before the Senate.

President Trachtenberg replied that that was a perfectly reasonable response, and what it proves, he thought, is that we are truthful when we say that we are human and not in control of every one of the inputs at all times. We would have preferred to have a large enrollment of graduate students, an even better return on our endowment, even more gifts to the capital campaign, and perhaps more measured growth in our student body. It is not out of the question that we should have a somewhat larger student body than we have, over

time. He thought the issue is to what extent can we be "just in time" in having the facilities ready to house and educate the students as they come here. What we are about here, he said, are priorities, and this is where the faculty need to be players in these deliberations.

Professor Griffith said that he thought that one of the things that the Committee wanted to the Senate to look at is that when the capital budget of the University takes on the shape this one has done, i.e., transferring significant amounts from the operating revenues into the capital budget, there is so much pressure on the academic side of the budget. Under these circumstances, if faculty seek to obtain any additional funds for the purpose of raising academic quality, the answer from the administration is likely to be "if you want us to give you more money, you show us how from that money you can make more money." He pointed out that the Senate would do well to look at the two reports entitled "Graduate Student Graduate Survey" and Student Budget Priorities" mentioned in the overview of the Committee's Special Report to see how the students look at this University. Professor Griffith said that he agreed with the President that it would be useful if the faculty together could look at the budget and suggest how it might be restructured. The President said that he agreed with Professor Griffith because this is not something where the administration and faculty are on opposite sides -- it is the same agenda -- the administration thinks it is building more space for the faculty and the students.

Professor Nagy asked the President if he could share with the Senate the administration's contingency plans in case problems of various magnitudes are encountered in the ventures accurately described as fraught with some risk. The President replied that the answer is a "melancholy" one. But probably one would be best informed by looking at the Moody's Report because these are people who are presumably making an analysis of our business plan and advising people who are contemplating buying our bonds, which is why the Moody's Report was generated, as to whether anyone should buy our bonds and whether the University has the capacity to pay back the bonds. We are like any other business, trying to expand and contract the "accordion" at all the right times. But, he said, there is no question we are all a little at risk. We are at risk, it seemed to him, if we act and we are risk if we don't act, and the question is when do we go a bridge too far. We are not building classrooms to keep them empty, we are not building faculty offices to have them vacant, and we are not buying housing not to have students using it.

GENERAL BUSINESS:

I. NOMINATION FOR ELECTION OF SEVEN FACULTY MEMBERS, INCLUDING THE FACULTY CO-CHAIR, TO THE JOINT FACULTY-ADMINISTRATION TASK FORCE ON THE PROPOSED COLLEGE OF PROFESSIONAL STUDIES

On behalf of the Executive Committee, Professor Robinson, Chair, nominated the following seven faculty for election to the Joint Faculty-Administration Task Force: Ralph G. Steinhardt, Professor of Law, Faculty Co-Chair; Walter A. Brown, Assistant Professor

of Higher Education, Edward J. Cherian, Professor of Information Systems, Paul B. Duff, Associate Professor of Religion, Joseph Pelzman, Professor of Economics, Gary L. Simon, Professor of Medicine, and Robert C. Waters, Professor of Engineering Management. No nominations were made from the floor, and the entire slate was elected.

Professor Nagy inquired if the deliberations of the Joint Task Force will be open to any interested member of the faculty, and Vice President Lehman replied that until the whole Task Force has met to discuss how it is going to proceed, he could not answer that question. Professor Nagy said that he hoped that the deliberations will be open because he thought it was imperative that faculty members be permitted to attend the deliberations on the proposed College of Professional Studies.

II. NOMINATION FOR ELECTION OF THE NOMINATING COMMITTEE FOR THE EXECUTIVE COMMITTEE FOR THE 2000-01 SESSION

On behalf of the Executive Committee, Professor Robinson nominated the following faculty for election to the Nominating Committee for the Executive Committee for the 2000-01 Session: Professors Lilien F. Robinson, (CSAS) Convener; Hugh L. Agnew (ESIA), Marie M. Cassidy (SMHS), Mary M. Cheh (GWLS), Muhammad I. Haque (SEAS), Lynda L. West (GSEHD), and Philip W. Wirtz (SBPM). No nominations were made from the floor, and the entire slate was elected.

III. REPORT OF THE EXECUTIVE COMMITTEE

The Report of the Executive Committee by Professor Robinson, Chair, is enclosed.

IV. INTERIM REPORTS OF SENATE COMMITTEE CHAIRS


No interim reports were made.

BRIEF STATEMENTS (AND QUESTIONS)

No brief statements were made.

ADJOURNMENT

Upon motion made and seconded, President Trachtenberg adjourned the meeting at 4:05 p.m.


Brian Selinsky
Secretary

**A RESOLUTION TO ENDORSE THE POLICY AND PROCEDURES
GOVERNING SEXUAL HARASSMENT COMPLAINTS (99/6)**

WHEREAS, the Faculty Senate, in a meeting on December 11, 1998, passed a resolution to refer the Interim Policy and Procedures Governing Sexual Harassment Complaints to an Ad Hoc Committee for review; and

WHEREAS, the Ad Hoc Committee has reviewed the Interim Policy and Procedures and, based upon wide-ranging consultation, the study of sexual harassment policies from other institutions, the study of sexual harassment literature and court cases, has recommended changes to the Interim Policy and Procedures both in the interests of clarification and simplification and in substance; and

**WHEREAS, the Faculty Senate resolution of December 11, 1998, directed the Ad Hoc Committee to report its recommendations with respect to any changes to the Interim Policy and Procedures Governing Sexual Harassment Complaints to the Faculty Senate;
NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON
UNIVERSITY**

That the Faculty Senate endorses the Policy and Procedures Governing Sexual Harassment Complaints as recommended by the Ad Hoc Committee.

**Ad Hoc Committee to Review Interim Policy and
Procedures Governing Sexual Harassment Complaints
January 12, 2000**

Postponed, March 10, 2000, to April 14, 2000

RECRUITMENT AND RETENTION OF WOMEN FACULTY AND FACULTY OF COLOR

**Report to the Faculty Senate
From the
Office of the Vice President for Academic Affairs
March 10, 2000**

PURPOSE

This report outlines the current status of the recruitment, appointment, promotion, tenure, and retention of women faculty and faculty of color at the University. In addition, this year as last, a section of this report focuses on the Campus "Climate" from the view of faculty, but is expanded with input from the Schools. In the spirit of Faculty Senate Resolutions 89/13 and 90/7, this report is provided to inform decisions regarding future activity in these areas.

THE STATE OF GEORGE WASHINGTON UNIVERSITY

The Office of Institutional Research provided the data upon which tables and attachments are based. The data does not include deans, administrators with faculty rank, visiting faculty (except where noted), affiliated faculty, or non-tenure accruing instructors in SMHS.

1998-99 RECRUITMENT ACTIVITY

In 1998-99 one hundred-fifty (150) authorized searches (national for regular faculty and modified for some visiting faculty) for appointments effective within the 1999-00 academic year resulted in one hundred-eleven (111) hires, of which sixty-seven were regular full-time appointments and forty-four (44) were visiting appointments. Tables 1 and 2A provide in detail the outcome of this activity.

**TABLE 1
New Full-Time Faculty
October 1, 1999 through September 30, 2000**

	MEN		WOMEN		TOTAL	
White	29		27		56	
Black	1		1		2	
Asian	6		2		8	
Hispanic	0		1		1	
TOTAL	36	53.7%	31	46.3%	67	
Minorities	7	19.4%	4	12.9%	11	16.4%

TABLE 2A
New Visiting Appointments
Academic Year 1999/2000

	MEN		WOMEN		TOTAL	
White	18		16		34	
Black	0		1		1	
Asian	6		0		6	
Hispanic	1		1		2	
Unknown	1		0		1	
TOTAL	26	59.1%	18	40.9%	44	
Minorities	7	26.9%	2	11.1%	9	20.5%

Table 2 B shows the total number of faculty in "visiting," temporary positions. These positions allow us to meet emergency staffing needs or to cover the absence of faculty on sabbatical or other leaves. University policy prevents individuals from holding a "visiting" position for more than two (2) academic years. Because they are temporary positions, turnover in this category is understandably high.

TABLE 2B
All Visiting Appointments
Academic Year 1999/2000

	MEN		WOMEN		TOTAL	
White	32		27		59	
Black	0		1		1	
Asian	8		0		8	
Hispanic	2		1		3	
Unknown	2		0		2	
TOTAL	44	60.3%	29	39.7%	73	
Minorities	10	22.7%	2	6.9%	12	16.4%

TABLE 3
Full-time Faculty and Percent Change Between
Academic Years 1998/99 and 1999/00

	MEN			WOMEN			TOTAL		
	<u>99/00</u>	<u>Change from 98/99</u>	<u>99/00</u>	<u>Change from 98/99</u>	<u>99/00</u>	<u>Change from 98/99</u>	<u>99/00</u>	<u>Change from 98/99</u>	<u>99/00</u>
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
White	584	-2.3%	-14	241	0.8%	2	825	-1.4%	-12
Black	11	-15.4%	-2	22	10.0%	2	33	0.0%	0
Asian	63	8.6%	5	30	7.1%	2	93	8.1%	7
Hispanic	10	-28.6%	-4	8	-27.3%	-3	18	-28.0%	-7
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
Total	668	-2.2%	-15	302	1.3%	4	970	-1.1%	-11
Minorities	84	-1.2%	-1	60	1.7%	1	144	0.0%	0

Table 3 shows changes that took place in the faculty profile between 1998-99 and 1999-00. Overall, the size of the faculty declined slightly (1% or 11 faculty members). Although the number of faculty of color remained constant, there was a net loss of 7 Hispanics (see Faculty Retention), which was offset by a gain of 7 Asians. Growth in the number of Asian faculty continues to outpace that of Black and Hispanic faculty. There was a slight increase in the number of women faculty (1% or 4 faculty members). However, during the same period, thirty-five (35) women faculty left the University (see Faculty Retention).

TABLE 4
Full-Time Faculty and Percent Change Between
Academic Years 1988/89 and 1999/00

	MEN			WOMEN			TOTAL		
	<u>99/00</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>
White	584	-4.3%	-26	241	36.2%	64	825	4.8%	38
Black	11	37.5%	3	22	175.0%	14	33	106.3%	17
Asian	63	117.2%	34	30	87.5%	14	93	106.7%	48
Hispanic	10	-9.1%	-1	8	300.0%	6	18	38.5%	5
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
Total	668	1.5%	10	302	48.8%	99	970	12.7%	109
Minorities	84	75.0%	36	60	130.8%	34	144	94.6%	70

Table 4 compares the faculty profiles in 1988-89 and 1999-00 and shows the degree of success we have achieved in enriching the composition of the faculty. Over the eleven-year period, the total number of faculty members increased (13% or 109 faculty members). While the number of White men decreased (4% or 26 faculty members) during the period, the number of women faculty and faculty of color grew substantively (49% or 99 and 95% or 70, respectively). This table also illustrates that while it is important to examine the profile of the faculty on an annual basis, long-run trends are a better measure of our degree of success or failure. Although we continue to show long-term gains in the number of women faculty and faculty of color, we are concerned about achieving further increases, particularly since the percentage of Black and Hispanic faculty members has not increased substantially over this period (see Appendix A2).

TABLE 5
Faculty Promoted and Awarded Tenure 1992/93 to 1998/99 (aggregate)
By Race and Sex
Promote

	<u>Male</u>	<u>Female</u>	<u>Total</u>	<u>Minority</u>	<u>Black</u>	<u>Asian</u>	<u>Hispanic</u>
Arts & Sciences *	73	34	107	18	2	14	2
GSEHD	5	14	19	4	1	1	2
SEAS	16	3	19	6	0	5	1
SBPM	19	10	29	7	1	6	0
LAW	6	6	12	1	0	0	1
SMHS	41	32	73	11	3	5	3
SPHHS	5	2	7	1	0	0	1
TOTAL	165	101	266	48	7	31	10

Awarded Tenure**

	<u>Male</u>	<u>Female</u>	<u>Total</u>	<u>Minority</u>	<u>Black</u>	<u>Asian</u>	<u>Hispanic</u>
Arts & Sciences *	44	25	69	14	2	9	3
GSEHD	3	8	11	2	1	0	1
SEAS	17	5	22	8	0	8	0
SBPM	21	5	26	8	1	6	1
LAW	9	4	13	1	0	0	1
SMHS	16	9	25	3	2	1	0
SPHHS	0	0	0	0	0	0	0
TOTAL	110	56	166	36	6	24	6

* Arts and Sciences includes both CSAS and ESIA

** Faculty who were tenured and promoted appear in both charts

TABLE 6
Tenure-Track, Non-Tenured Faculty Terminating 1992/93 to 1998/99 (aggregate)
By Race and Sex

Left Before Tenure Notification Date

	<u>Male</u>	<u>Female</u>	<u>Total</u>	<u>Minority</u>	<u>Black</u>	<u>Asian</u>	<u>Hispanic</u>
Arts & Sciences	15	8	23	2	0	0	2
GSEHD	0	1	1	0	0	0	0
SEAS	7	1	8	2	0	1	1
SBPM	2	2	4	2	0	2	0
LAW	0	0	0	0	0	0	0
SMHS	17	12	29	3	0	1	2
SPHHS	0	0	0	0	0	0	0
TOTAL	41	24	65	9	0	4	5

Tables 5 and 6 provide a multi-year view of the number of faculty promoted and/or awarded tenure or who left the University prior to their tenure review. Between 1992/93 and 1998/99, one hundred sixty-six (166) faculty members were awarded tenure. Also during this period 65 faculty members left prior to their tenure notification date: 41 men and 24 women; of those leaving prior to their tenure notification date 9 were faculty of color.

Although attrition is a fact of life in any organization, the challenge that we continue to face is to circumvent attrition from climate problems (i.e., isolation, mentoring, etc.) or development and support issues.

FACULTY DEVELOPMENT

The Office of Academic Affairs, Council of Deans (COD), Faculty Senate and academic department heads continue to focus attention on barriers to faculty success and programs and activities that support faculty development and retention. To address possible barriers, we have increased attention to campus climate issues, mentoring and advising, faculty development plans, and the review, revision, and communication of departmental by-laws and promotion and tenure criteria. Other programs and activities that continue to support faculty development include (but are not limited to) orientation for faculty who are new to the University, department chair orientation, teaching, writing and research workshops or seminars, improvements in the faculty annual report form and evaluation process, additional competitive funding for research, enhanced research support, etc.

FACULTY RETENTION

During the period 10/1/98 to 9/30/99, ninety-nine (99) regular active status faculty left the University. Reasons for leaving included death, disability, retirement, completion of temporary appointment, non-reappointment, move to part-time appointment, and move to administration. Some of the attrition in the Medical Center (which accounts for 66% of this years terminations) is due in part to cost reduction initiatives including (but not limited to) closing three satellite offices and eliminating positions.

Of the faculty leaving the University, sixty-four (64) were men and thirty-five (35) were women. The faculty of color leaving all held appointments in the Medical Center and included four (4) Asians, three (3) Black and eight (8) Hispanic faculty members. Of the Asians leaving one, (1) was not re-appointed and three (3) resigned -- one (1) accepted another position and two (2) gave no reason for resigning. Of the Black faculty leaving, one's (1) temporary contract ended, one (1) was not re-appointed and one (1) resigned without stating a reason. Of the eight (8) Hispanic faculty leaving, one's (1) temporary contract ended, two (2) moved to part-time, four (4) resigned without stating a reason, and one (1) moved to an affiliated hospital.

Of the twenty-nine (29) White women faculty leaving the University, eleven (11) resigned without stating a reason, six (6) accepted another position, five (5) were not re-appointed, three (3) retired, two (2) had temporary contracts that ended, one (1) moved to part-time, and one (1) relocated.

Faculty retention, particularly as it relates to faculty of color, underscores the need to redouble our efforts to provide adequate support and development opportunities for continuing faculty, as well as to revamp our efforts to attract and retain faculty of color. Over the next academic year, the Vice President for Academic Affairs, in consultation with the COD and department chairs, will continue to explore ways to address retention issues.

INSTITUTIONAL PROFILE

The current institutional profile for GW faculty is presented on the following pages. A more comprehensive display of the data can be found in the appendices to this report. The appendices should be examined, among other reasons, because they present a disaggregated analysis on a school-by-school basis.

TABLE 7
Full-time Faculty by Contract Status and Percent Change Between
Academic Years 1998/99 and 1999/00

Tenured & Tenure-Track Positions Combined

	MEN			WOMEN			TOTAL		
	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>
White	450	-0.4%	-2	144	2.9%	4	594	0.3%	2
Black	6	0.0%	0	10	0.0%	0	16	0.0%	0
Asian	49	2.1%	1	13	0.0%	0	62	1.6%	1
Hispanic	7	0.0%	0	7	16.7%	1	14	7.7%	1
Total	512	-0.2%	-1	174	3.0%	5	686	0.6%	4
Minorities	62	1.6%	1	30	3.4%	1	2	2.2%	2

Non-Tenure Track

	MEN			WOMEN			TOTAL		
	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>
White	134	- 8.2%	-12	97	-2.0%	-2	231	-5.7%	-14
Black	5	-28.6%	-2	12	20.0%	2	17	0.0%	0
Asian	14	40.0%	4	17	13.3%	2	31	24.0%	6
Hispanic	3	-57.1%	-4	1	-80.0%	-4	4	-66.7%	-8
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
Total	156	-8.2%	-14	128	-0.8%	-1	284	-5.0%	-15
Minorities	22	-8.3%	-2	30	0.0%	0	52	-3.7%	-2

NOTE: Over half (51%) of the non-tenure-track faculty are in the Medical Center (SMHS and SPHHS) while only 16% of the tenured/tenure-track faculty are in the Medical Center.

TABLE 8
Full-time Faculty by Rank and Percent Change Between
Academic Years 1998/99 and 1999/00

Senior Ranks - Professor & Associate Professor

	MEN			WOMEN			TOTAL		
	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>
White	476	-1.9%	-9	137	-3.5%	-5	613	-2.2%	-14
Black	8	0.0%	0	13	0.0%	0	21	0.0%	0
Asian	45	4.7%	2	15	36.4%	4	60	11.1%	6
Hispanic	8	14.3%	1	7	0.0%	0	15	7.1%	1
Total	537	-1.1%	-6	172	-0.6%	-1	709	-1.0%	-7
Minorities	61	5.2%	3	35	12.9%	4	96	7.9%	7

Junior Ranks - Assistant Professor & Instructor

	MEN			WOMEN			TOTAL		
	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>	<u>99/00</u> <u>Number</u>	<u>Change from 98/99</u> <u>Percent</u>	<u>Number</u>
White	108	-4.4%	-5	104	7.2%	7	212	1.0%	2
Black	3	-40.0%	-2	9	28.6%	2	12	0.0%	0
Asian	18	20.0%	3	15	-11.8%	-2	33	3.1%	1
Hispanic	2	-71.4%	-5	1	-75.0%	-3	3	-72.7%	-8
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
Total	131	-6.4%	-9	130	4.0%	5	261	-1.5%	-4
Minorities	23	-14.8%	-4	25	-10.7%	-3	48	-12.7%	-7

TABLE 9
1999/00 Regular Full-Time Faculty

	<u>By Tenure Status</u>						<u>By Rank</u>			
	<u>Total</u>		<u>Tenure/Tenure</u>		<u>Non-Tenure-</u>		<u>Senior Ranks</u>		<u>Junior Ranks</u>	
	<u>Number</u>	<u>Percent</u>	<u>Track</u>	<u>Percent</u>	<u>Track</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>
Total	970	100%	686	100%	284	100%	709	100%	261	100%
Women	302	31%	174	25%	128	45%	172	24%	130	50%
Men	668	69%	512	75%	156	55%	537	76%	131	50%
White	825	85%	594	87%	231	81%	613	86%	212	81%
Black	33	3%	16	2%	17	6%	21	3%	12	5%
Asian	93	10%	62	9%	31	11%	60	8%	33	13%
Hispanic	18	2%	14	2%	4	1%	15	2%	3	1%
Unknown	1	0%	0	0%	1	0%	0	0%	1	0%
Minorities	144	15%	92	13%	52	18%	96	14%	48	18%

Table 7, Table 8, and Table 9 profile the regular full-time faculty by contract status and rank. These tables demonstrate that while we continue to make progress, it is slow and we cannot relax our efforts.

Specifically, these tables show:

While 69% of the regular faculty are men, they occupy 75% of the tenured or tenure-track positions and only 55% of the non-tenure-track positions. Women, on the other hand, comprise 31% of the faculty, but hold only 25% of the tenured or tenure-track positions and a disproportionate 45% of the non-tenure-track positions. Fifteen percent of the regular faculty are faculty of color, but they hold 13% of the tenure/tenure-track positions and 18% of the non-tenure-track positions.

Also of note is that the senior faculty consists of 76% men and 24% women, while junior faculty are split 50%/50% between men and women. Faculty of color make up 14% of the senior faculty and 18% of the junior faculty. Looking only at tenured and tenure-track faculty, faculty of color make up 13% of the senior faculty and 16% of the junior faculty. Going one step further and excluding SMHS because of the last few erratic years, faculty of color make up 13% of the senior faculty and 19% of the junior faculty. Therefore, evidence suggests that our recruitment efforts have been successful over the past 11 years.

While women faculty and faculty of color combine to account for 40% of the regular faculty, they occupy 34% of the tenure/tenure-track positions, 53% of the non-tenure-track positions, 33% of the full and associate professor positions, and 59% of the assistant professor and instructor positions.

CAMPUS CLIMATE

In addressing the practices and policies that might make our campus something less than hospitable and, therefore, preclude the full participation of women faculty and faculty of color, the academic administration has concentrated on the initiatives outlined below.

Climate Survey-Report Update

On April 22, 1998, the University Committee on the Status of Women Faculty and Librarians (UCSWF&L) presented the Faculty Climate Survey Report for extensive discussion and strategic development by participants at the UCSWF&L's spring meeting. During fall 1998, a subcommittee of the UCSWF&L reviewed and rank ordered the report recommendations and strategies and forwarded them, in February 1999, to the Vice President for Academic Affairs. The Vice President of Academic Affairs responded to the report in March 1999. At the close of the spring 1999 semester, the UCSWF&L reviewed the Vice President's responses to the recommendations and, based on that response, formed subcommittees to continue efforts in three areas: mentoring programs, research support, and faculty networks. In fall 1999, the Faculty Climate Survey Report and the Vice President for Academic Affairs' response to the recommendations was mailed to all GW faculty.

Mentoring

During summer 1998, the UCSWF&L recommended that the University implement a systemic faculty and librarians' mentoring program. It was further recommended that the mentoring program be voluntary and supported by the central administration through policy and resources, including addressing strategies to:

1. promote mentoring efforts
2. train mentors
3. reward mentors
4. raise awareness about mentoring, and
5. produce policy guidelines

In fall 1998, Vice President Lehman presented the recommendations to the COD and discussed ongoing mentoring efforts in the various schools. The consensus of the COD was that the University should forgo a centralized, University-wide mentoring program, but rather allow schools/departments to fashion their own. Since that time, schools have used the proposal to enhance existing mentoring efforts and/or as a springboard for new programs.

The University has made good progress on mentoring, i.e., new and enhanced programs, the incorporation of mentoring into the faculty annual report, etc. Vice President Lehman promised to aggressively monitor mentoring efforts to ensure they remain an integral component of faculty development and support activities. In recognition of the importance of University policy guidelines in supporting the schools' mentoring efforts, he asked the UCSWF&L to work with school representatives to develop mentoring policy guidelines.

Salary Equity

We continue to monitor faculty salaries to identify and correct salary inequities. A University committee, composed of representatives from the Office of Academic Affairs and the Faculty Senate, conducts University-wide reviews biennially. The most recent review began in spring 1999.

Special salary reviews (those requested by individual faculty members or their deans) are handled on a case-by-case basis. Salaries that warrant an adjustment following our current salary administration policy are adjusted accordingly.

Recognition and Prevention of Sexual Harassment

The University continues to deal with complaints of sexual harassment. Committed to maintaining a positive climate where individuals can pursue their academic and work activities in an atmosphere free from coercion and intimidation, we are determined to work toward alleviating occurrences of sexual harassment.

Interim Policies and Procedures Governing Sexual Harassment Complaints—Update. At the Faculty Senate's December 11, 1998 meeting, following an extensive review, the Senate Committee on Professional Ethics & Academic Freedom offered and the Senate adopted (after discussion and amendments) a resolution for amending the Interim Policies and Procedures Governing Sexual Harassment Complaints (IP&PGSHC). Also, part of the resolution was the recommendation to create an ad hoc committee (jointly appointed by the Vice President for Academic Affairs and the Chair of the Executive Committee of the Senate and with broad representation), to further study the IP&PGSHC. In March, the Vice President for Academic Affairs and the Chair of the Executive Committee of the Senate appointed the following individuals to service on the ad hoc committee:

Edward Caress, co-chair, Faculty
Linda Gallo, co-chair, Faculty
Mary Cheh, Law, Faculty
Linda Donnels, Dean of Students, Staff/Students
Roy Guenther, Faculty
Diana Johnson, CSAS, Faculty
Hugo Junghenn, CSAS, Faculty
Susan Kaplan, Human Resources, Staff
Catherine Sadler, Student
Annie Wooldridge, Faculty Recruitment and Personnel Relations, Staff,

Martin Michaelson of the law firm Hogan & Hartson was engaged to assist the Committee in its review of the IP&PGSHC.

In conducting its review of the IP&PGSHC, the Committee was requested to engage in wide-ranging consultation, to review sexual harassment policies from other universities as well as the literature on sexual harassment in a university setting. At the conclusion of its work, the Committee is to report its recommendations to the Faculty Senate.

Faculty Education. A continuing concern is the need to address the scope of faculty education efforts related to sexual harassment recognition and prevention. While the traditional measures we have used (mass mailings, orientation sessions, department chair meetings, and other informal venues to disseminate important information) may be a starting point for this effort, additional measures are now mandatory. The Vice President for Academic Affairs, in preparation for dissemination of the revised policies and procedures will work with relevant University constituencies to develop short and long-term approaches to educating faculty about sexual harassment. These

approaches will likely include:

- Broadly disseminating anti-sexual harassment policies that make it clear that: employees are responsible for reporting harassment and that harassment complaints will be promptly and thoroughly investigated and handled confidentially (except as reasonably necessary for investigation and resolution), the University will take prompt disciplinary action when necessary, etc.
- Conducting widespread training to make all employees aware of policies governing sexual harassment, informing them of complaint procedures, as well as advising them about what conduct is inappropriate in the classroom and workplace.
- Taking measures to encourage employees to use the complaint procedures if harassment is discovered.

Critical to the long-term success of these educational efforts is developing programs that focus specifically on the academic environment and ensure a careful, thoughtful, and consultative process.

Committee on the Status of Women Faculty and Librarians

This committee was established to identify obstacles to the professional and personal development of women faculty and librarians and to increase their contributions to the University; develop and recommend strategies to overcome obstacles and improve conditions of campus life for women faculty and librarians; and to collaborate with the Office of Academic Affairs to implement these strategies across the University. Since its inception, the Committee has held a number of meetings and seminars focusing on issues such as: development strategies for women and faculty of color, mentoring and networking, campus climate, faculty governance, strategies for promotion, tenure and renewal, the research climate at GW and many others. The committee continues to work with women within their respective schools and libraries to share information and solicit issues for University and committee consideration.

Recruitment Activities

A number of events have occurred during the past year that underscore the need for continued emphasis on the proper conduct of searches, better and more accurate communications with applicants/candidates, handling internal candidates, and the thorough evaluation of candidates' dossiers. Therefore, the Office of Faculty Recruitment and Personnel Relations has refocused educational efforts and is working more closely with department chairs and search committees on the following issues:

- Effective planning
- Developing position criteria and announcements
- Communicating with applicants and candidates
- Internal applicants and candidates
- Screening applications
- Interviewing and selection strategies
- Reference checking
- Confidentiality
- Documentation and record keeping

While we are more closely monitoring search activity in those departments that experienced problems, we are also working to expand our "reeducation" efforts University-wide.

SCHOOL ACTIVITIES

In keeping with recommendations from various faculty reports (most notably, "Making the George Washington University a Model of Cultural Diversity" and "Faculty Climate Survey Report"), each School has taken actions and/or instituted programs designed to improve the recruitment and retention of women faculty and faculty of color. We mention below a few illustrative examples.

The School of Business and Public Management (SBPM) is in the second year of a school-wide mentoring program. A half-day orientation for all new faculty was held in early September to provide an introduction to SBPM, its programs and policies. Each new faculty member was assigned a mentor based on the recommendation of his or her department chair. The dean hosted a luncheon in the early fall for all mentors and proteges. Professor Debra Cohen made a presentation on the mentoring relationship based on her research in the area. Senior Associate Dean Jeff Lenn distributed a handout, "25 Things to Do as Mentor," containing a list of activities designed to enhance the mentor relationship. A luncheon in late spring is scheduled to tie together the full-year program. This program complements the mentoring by individual department chairs and departmental APT committees.

The SBPM Dean's Office provides summer research support for almost all new faculty at the assistant professor level and in some cases at the associate level. The commitment is either for one or two summers at 1/11 or 2/11 of their regular salaries. This program is designed to relieve junior faculty from summer teaching responsibilities so they can focus on research.

The Columbian School of Arts and Sciences (CSAS) has established the Hiring Oversight Committee, which has undertaken a variety of activities to encourage diversity initiatives. The committee:

- is responsible for vetting new policies and procedures in order to ensure that they are in keeping with the School's mission of encouraging the hiring of a diverse faculty.
- advises the dean on CSAS policies and procedures to help create a more friendly work environment for women and people of color.
- planned and delivered a training workshop to all departments and programs undergoing a faculty search in Academic Year 1999-2000 on August 27, 1999 which included discussion about GW policies and procedures for equal opportunity and the recruitment of faculty, the do's and don'ts of the interview process, sexual harassment, privacy, and related issues, a presentation by Counsel to the AAUP, an award-winning PBS documentary on faculty diversity entitled "Shattering the Silences", and a "What Works" session that focused on attracting women and people of color and persuading them to accept our offers.

Also of note, in CSAS:

- each department/program appoints a mentor for junior faculty members upon their arrival at GW. The duties of this mentor are to assist the faculty member in adjusting to the university's culture and to provide guidance in his/her journey toward tenure, and

- new CSAS faculty participate in the New Seminar Series organized by the Columbian School Dean's Office.

The Elliott School Of international Affairs (ESIA) is unique in the sense that the majority of the School's budgeted faculty are placed within academic departments in the Columbian School of Arts and Sciences. In order to prevent confusion within the departments, the Elliott School largely adheres to procedures in regard to diversity developed within the Columbian School, and in particular departments, in the hiring, mentoring, and promotion of its faculty.

The School has a standing policy that qualified women or people of color be included among the candidates brought to campus for any search. All recent searches have followed this policy.

In the early part of this academic year, ESIA undertook a review of the success of diversity initiatives in hiring over the past five years as part of its application for a Department of Education grant that would recognize GW as a national resource center in international affairs. Although the total number of new hires was small, thus making meaningful statistics difficult, the overall pattern of hiring was seen to be within desired parameters.

ESIA is also in the process of reviewing the policy for the implementation of parental leaves. A draft of this policy was circulated for comments to the University counsel and to CSAS.

ESIA also supports CSAS procedures that call for providing mentors for junior faculty in their departments (usually with a tenured member of the Elliott School serving as the mentor.) Another aspect of mentoring for junior faculty in ESIA is a requirement that they include a development plan covering proposed research, teaching, and service for the coming year along with their annual report.

The School's Appointment, Promotion and Tenure Committee evaluates these plans. The report of this committee to the Dean is used in the Dean's annual meeting with the junior faculty member to discuss their progress toward tenure.

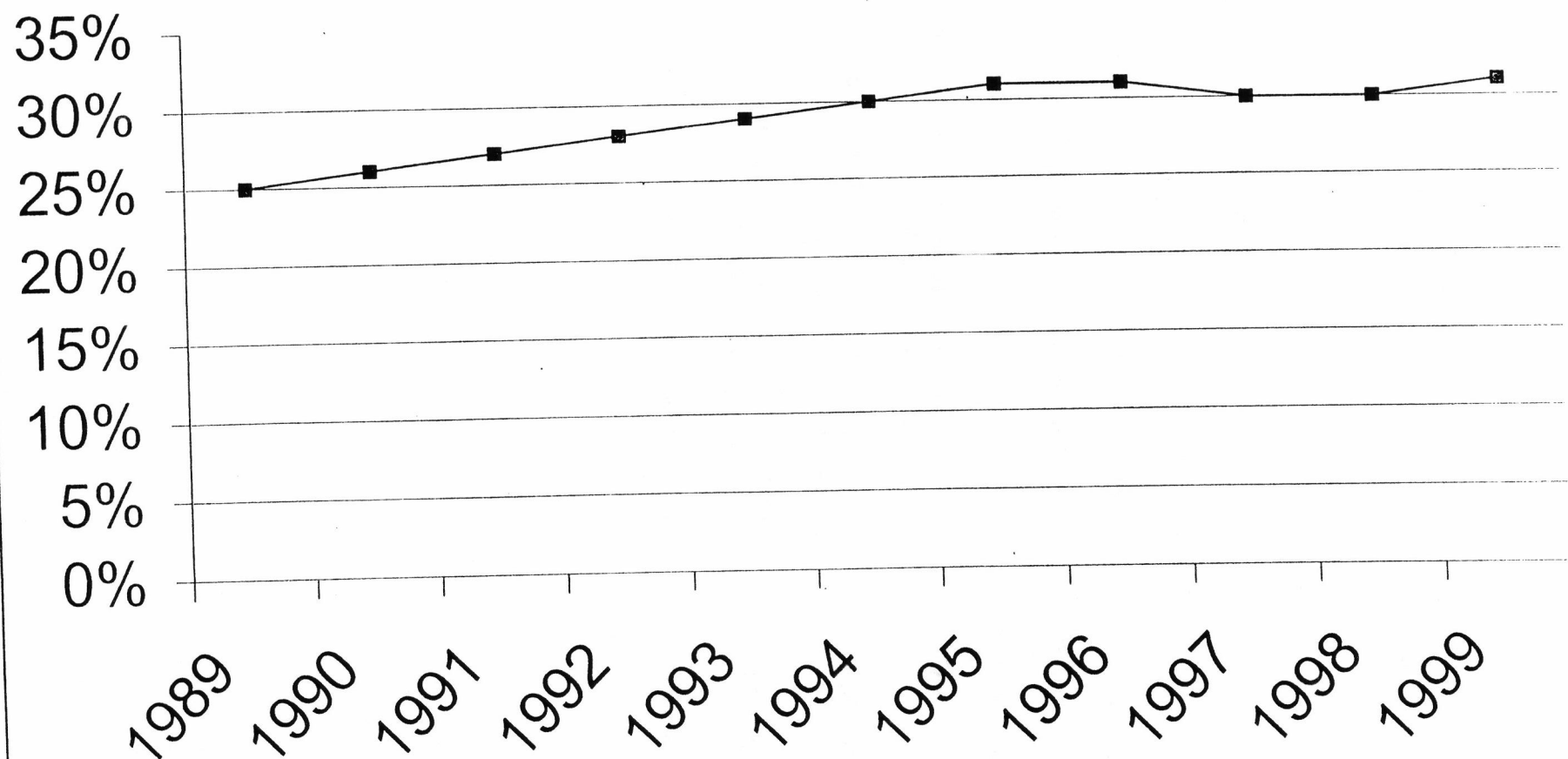
The School of Public Health and Health Services (SPH&HS) as the newest GW school, has recently initiated efforts focused on faculty recruitment. These efforts include, but are not limited to, ensuring that all search committees include a diverse group of faculty. SPH&HS believes that a diverse search committee sends a positive message to potential faculty.

APPENDICES

- Appendix A1: Women as a Percentage of Regular Faculty
- Appendix A2: Percentage of Regular Faculty of Color
- Appendix B: New Full-Time Faculty, Academic Years 1995-96 - 1999-00
- Appendix C: Full-Time Faculty by School and Percent Change Between Academic Years 1988-89 and 1999-00
- Appendix D: Full-Time Faculty by Contract Status and Percent Change Between Academic Years 1988-89 and 1999-00
- Appendix E: Full-Time Faculty by Rank and Percent Change Between Academic Years 1988-89 and 1999-00
- Appendix F: 1998-99 Full-Time Faculty of Color by School

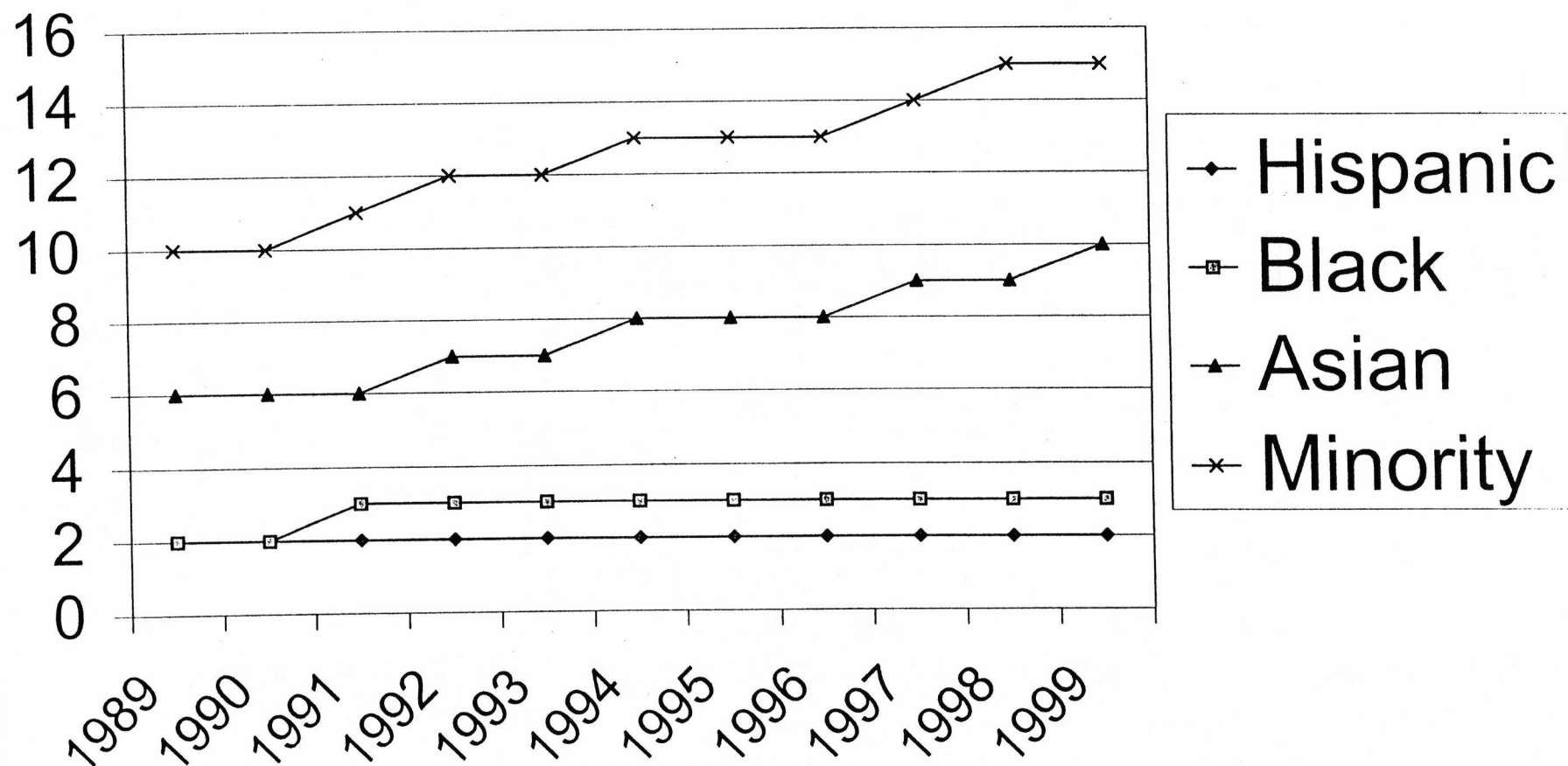
APPENDIX A1

Percentage of Women Regular Faculty



APPENDIX A2

Percentage of Regular Faculty of Color



APPENDIX B
New Full-Time Faculty
Academic Years 1995-96 to 1999-00

	1995-96		1996-97		1997-98		1998-99		1999-00	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	51	100%	69	100%	58	100%	55	100%	67	100%
Women	18	35%	29	42%	23	40%	20	36%	31	46%
Men	33	65%	40	58%	35	60%	35	64%	36	54%
White	44	86%	59	86%	45	78%	43	78%	56	84%
Black	4	8%	2	3%	2	3%	4	7%	2	3%
Asian	3	6%	6	9%	8	14%	6	11%	8	12%
Hispanic	0	0%	2	3%	3	5%	2	4%	1	1%
Minority Total	7	14%	10	14%	13	22%	12	22%	11	16%

APPENDIX C

Full-time Faculty by School and Percent Change Between Academic Years 1988/89 and 1999/00

SCHOOL	TOTAL	MEN			WOMEN			MINORITY		
	99/00	99/00	Change from 88/89		99/00	Change from 88/89		99/00	Change from 88/89	
	Number	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
CSAS	360	235	5.9%	13	125	52.4%	43	44	120.0%	24
SBPM	115	90	20.0%	15	25	66.7%	10	19	280.0%	14
ESIA	34	28	64.7%	11	6	500.0%	5	6	200.0%	4
SEAS	68	62	-10.1%	-7	6	0.0%	0	15	50.0%	5
GSEHD	61	31	40.9%	9	30	30.4%	7	8	166.7%	5
LAW	69	49	36.1%	13	20	66.7%	8	9	350.0%	7
SMHS	234	152	-28.6%	-61	82	28.1%	18	41	24.2%	8
SPHHS	23	15	0.0%		8	0.0%		2	0.0%	
UNIV	6	6	50.0%	2	0	0.0%	0	0	0.0%	0
TOTAL	970	668	-0.7%	-5	302	43.1%	91	144	87.0%	67

Full-Time Faculty by Contract Status and Percent Change Between Academic Years 1988/89 and 1999/00
Tenured and Tenure-Track Positions Combined

[illegible]

Full-Time Faculty by Rank and Percent Change Between Academic Years 1988/89 and 1999/00
Senior Ranks - Professor and Associate Professor

	Men			Women			Total		
	99/00 Number	Change from 88/89 Percent Number		99/00 Number	Change from 88/89 Percent Number		99/00 Number	Change from 88/89 Percent Number	
White	476	-5.2%	-26	137	44.2%	42	613	2.7%	16
Black	8	33.3%	2	13	550.0%	11	21	162.5%	13
Asian	45	125.0%	25	15	87.5%	7	60	114.3%	32
Hispanic	8	0.0%	0	7	250.0%	5	15	50.0%	5
TOTAL	537	0.2%	1	172	60.7%	65	709	10.3%	66
Minorities	61	79.4%	27	35	191.7%	23	96	108.7%	50

APPENDIX F
1999/00 Full-time Faculty of Color By School

Tenured and Tenure-Track Positions Combined

SCHOOL	Minority	Black	Asian	Hispanic
CSAS	38	8	25	5
SBPM	15	2	12	1
ESIA	4	0	3	1
SEAS	14	0	13	1
GSEHD	4	1	0	3
LAW	6	4	1	1
SMHS	11	1	8	2
SPHHS	0	0	0	0
UNIV	0	0	0	0
TOTAL	92	16	62	14

Non - Tenure - Track

SCHOOL	Minority	Black	Asian	Hispanic
CSAS	6	1	5	0
SBPM	4	1	3	0
ESIA	2	2	0	0
SEAS	1	0	1	0
GSEHD	4	2	1	1
LAW	3	1	1	1
SMHS	30	10	19	1
SPHHS	2	0	1	1
UNIV	0	0	0	0
TOTAL	52	17	31	4

Fiscal Planning and Budgeting Committee of the Faculty Senate
Feb. 28, 2000

SPECIAL REPORT ON FY2000 FIVE-YEAR CAPITAL BUDGETS

OVERVIEW:

The FY2000 Five-Year Operating and Capital Budgets (hereafter "The Budgets"), after presentation to the Trustees in May 1999, was released to the FP&B Committee for its consideration in Aug. 1999. It quickly became apparent that the sharpest changes were in the 5-year capital budget for "major projects", which was projected to grow by \$200.2m, from a projected total of \$271.5m in the FY 99 five-year capital budget. Adding the "base capital budget" total of \$32.4m for renovation and repair of existing facilities to the budget total for "major development projects" of \$471m indicates the Administration plans capital expenditures of about one-half billion dollars in the near term, although not all by the last year of this budget (FY03).

The Committee assumed that the Faculty Senate and faculty in general, surrounded by signs of construction and inundated with news accounts of new real estate purchases, would be eager to know more details of the University's plans, especially how academic programs would be affected for good or ill. Hence this Special Report, pulling out for inspection a few significant parts of the new budget, especially from the capital budget plans, and providing a small amount of interpretative comments.

The Budgets do not explain the reasons for this sudden, very large increase in capital expenditures – 74% since the preceding budget – and it is not clear that it is being driven significantly by unexpected enrollment increases. Rather, enrollment increases are being used to fund these expenditures (see below). **Faculty will therefore want to examine these excerpts from the Five-Year Budget carefully to see whether the University is investing proportionately in enhancing the quality of our core academic programs, as well as building up our housing and service functions, and further, whether the increased burdens on the operating budget (debt service plus capital allocations—See Appendix A) threaten academic-program budgets.**

As further background for this Report, the Committee invites the attention of the Faculty Senate to two recent studies of students' satisfaction/dissatisfaction with their educational experiences here. One is a May 1999 "Graduate Student Graduation Survey", produced by Cheryl Beil and the Academic Planning and Assessment Office. The second, on "Student Budget Priorities", was produced this spring term by the GW Student Association President's Office (Caity Leu). In both reports, for example, students echo faculty complaints about the adequacy of Gelman's resources (e.g. roughly one-third of graduate students are not satisfied). Further, in the SA Report, students complain strenuously about classroom overcrowding. (The Committee invited a supplemental report on projected classroom availability from Academic Affairs. AVP Linebaugh prepared the analysis shown here as **Appendix B**, for which our thanks.)

I. FIVE-YEAR PLANNING ASSUMPTIONS (See p. 18-19)

— Note that "Undergraduate Enrollment" projections (2050 freshmen annually at Foggy Bottom and MVC plus 275 transfer students) are already being altered. Under pressure to generate replacement revenue for "NEWCO" (see

below), the target for admission of freshmen has reportedly been raised by 100 students for fall 2000.

-- Mt. Vernon Campus is here projected to begin generating surpluses and contributing towards debt retirement as of FY02, allowing endowment payouts to be used elsewhere.

-- Health & Wellness Center is projected to run a deficit unless more revenue is found, which may explain efforts to impose a new "tax" on faculty use.

II. NEW INITIATIVES, OPERATING AND CAPITAL BUDGETS (pp. 20-23)

A. Measures to Raise Revenues (See p. 20 and 22, top)

-- "Student Residences": Later in report, a goal is identified of housing 65% of projected undergraduate (UG) population (up from 53% now) when all projects/acquisitions completed.

-- "NEWCO" refers to a planned "for-profit subsidiary", now evolved into a non-profit, non-credit unit in the area of Academic Development and Continuing Education. Summary on p. 22 shows now-unlikely expected revenue of \$2.5m for FY 01, and consequently enrollment targets will be raised to compensate for next year's shortfall.

-- "Mt. Vernon Campus": revenue of \$1m from "expanded re-creational programs" refers mainly to plans for summer camps, pool memberships, etc.

-- "Old Hospital Site": This revenue target is quite speculative, since as yet there is no specific plan for how much of this site will be dedicated to revenue production, nor what other uses likely will be.

B. Increases to Annual Operating Expenses (pp. 20-21-22)

-- A relatively small amount of authorized expense increases will go directly to academic budgets, and most of that is for UG retention measures, which have not been spelled out for us. Note that even these expenditures are tied to revenue projections, and hence may not be realized.

-- Note that there is no mention of any serious investments for Gelman Library's underfunded collections programs, despite reported student (and faculty) frustrations in this area.

-- Debt service for the "new initiatives" will increase to \$8.7m in FY03. Additional debt service associated with projects approved in both the FY99 and FY00 budgets will total \$16m per year, as soon as FY 01. In addition, the capital budget contemplates allocations from current revenues to the capital budget rising from an average of \$7.6m between FY94 and FY98 to \$21.8m in FY03. In total, current revenues will be expected to fund (directly or through debt service) an additional \$37.8m by FY03 relative to pre-FY98 levels. (For further details, see **Appendix A**, "Debt Service and Other Burdens on the Operating Budget", prepared by Professors Kwoka and Lindahl.)

III SUMMARY OF FIVE-YEAR BASE CAPITAL BUDGET (p. 27)

-- This \$32.4m "renovation and repair" budget, separate from the "major developments budget", is included mainly for completeness and to satisfy faculty interest about local projects affecting their units.

III MAJOR DEVELOPMENT PROJECTS (See pp. 31-34)

A. Expenditures (p. 31):

1) Projects already in FY99 Five-year Budget

- Cp. Five-Year Outlays on p. 34 to see which of these are more than just token gestures. For example, the "Science Bldg" has appeared for years in budget but no serious expenditures are planned in this period, whereas the new residence hall (500 beds) will be completed by FY02. Similarly, an "Engineering Building", new to this budget, again has no outlays scheduled in this time interval
- Look under "Funding" to see which projects are "contingent on fund-raising", e.g., notably Law, Virginia Campus, and SBPM buildings
- "Endowment funds" shows how endowment will be drawn down to support new academic buildings.

2) New Projects in FY2000 Budget (pp. 31-32)

- Development of the AGC site (E St betw/ 19th-20th) is a major new item (\$71m). 30-40% will be site of an additional residential hall (another 200 beds). The remainder of it will be the site of an academic building. Three floors will house ESIA; five floors will hold classrooms. Consult **Appendix B** to see how much classroom space will be gained within the University at large after portions of Stuart and Lisner Hall are reallocated to Law School use.
- The NALU building is a significant (\$30.2m) development for administrative uses, generating some savings in rental of office space; but arguably this building should be reviewed for possible additional classroom development.

B. Funding Sources

- As noted, 74% of the new projects' costs are to be funded by debt, with the remainder from fund-raising and endowment funds. See **Appendix A**. "Debt Service and Other Burdens on the Operating Budget".

IV. BACKGROUND INFORMATION: HISTORICAL TRENDS AND PROJECTIONS

The following summary data are provided to help with interpretation of basis of the above plans:

A. Sources of Funds (p. 1)

B. New Tuition and Fee Revenue (p. 5)

C. Enrollment Projections (p. 8)

Note planned increase of 12% (FTEs), including another 1300+ undergraduates

D. Pricing Data (p. 13)

William B. Griffith, Philosophy

FIVE-YEAR PLANNING ASSUMPTIONS

Undergraduate Enrollment:

- All years of the plan assume 1,800 freshmen and 250 transfer students will enroll annually at the Foggy Bottom campus.
- The plan assumes that 175 freshmen will enroll at the Mount Vernon campus next year. In subsequent years, 200 freshmen will enroll at Mount Vernon annually.

Tuition & Fees:

- The FY 2000 estimates reflect the tuition and fee increases approved by the Board in February.
- At its February meeting, the Board also approved a 4.5 percent tuition increase for undergraduates in FY 2001. Subsequent years reflect 4 percent annual increases for undergraduates.
- The FY 2001 through FY 2003 projections include annual tuition and fee increases of 3 percent for on campus graduate programs, 2 percent for off campus programs, and 4 percent for the Law School.
- As noted in the discussion of pricing (page 14), a new \$7.50 per credit hour fee for the Health and Wellness Center takes effect in the Spring of 2001.

Virginia Campus:

- The Program and Research Surplus (before debt service) is projected to grow \$50,000 next year and \$25,000 annually thereafter. In FY 2003, 39 percent of the campus' debt service will be funded from the University's general operating budget, compared to 54 percent in the current year.
- Five-year projections for the Virginia Campus are presented on page 25.

Mount Vernon Campus:

- Undergraduate enrollment (FTEs) will grow from 302 next year to 649 by FY 03.
- The campus will begin generating surpluses (including interest expense and capital expenditures) in FY 02.

FIVE-YEAR PLANNING ASSUMPTIONS

- Through FY 99, approximately \$16.3 million will have been borrowed from the Flexible Note program for the acquisition and operation of the College. Beginning in FY 00, as the campus' annual deficit is reduced, endowment payout will be used to retire the debt. By FY 02, the campus' surplus will fund a substantial portion of the debt retirement, allowing about \$3.5 million of endowment payout to be used to support the University's operating budget. Based on current estimates, the debt will be retired in FY 04.
- Five-year projections for the Mount Vernon Campus are presented on page 26.

Health & Wellness Center:

- The plan reflects the opening of the Health and Wellness Center in FY 01. Beginning with the spring semester of that year, a \$7.50/credit hour fee will be assessed to support the Center's operating expenses and debt service. The revenue associated with the .5 percent increase in tuition (over the base 4 percent increase) will also support the Center's budget.
- Based on current revenue and expense estimates, the Center will have an annual operating deficit of approximately \$100,000. Additional external revenue or expense reductions will be required to eliminate the deficit. Following is a summary of the revenue and expense estimates reflected in the five-year operating budget:

(In Thousands)	FY 00	FY 01	FY 02	FY 03
Tuition & Fee Revenue	-	\$2,045	\$3,500	\$3,547
Operating Expenses	-	767	1,584	1,632
Debt Service	-	1,000	2,050	2,050
Total Expenses	-	1,767	3,634	3,683
Annual Funding Surplus/(Deficit)	-	\$278	(\$134)	(\$135)

Endowment Support:

- All years of the plan assume a base payout equal to 5.5 percent of a rolling average market value of the endowment.
- The plan assumes that the current levels of support for classroom and lab renovations (\$1.5 million) and new academic programs (\$1.5 million) will continue. In FY 2000, all of the \$1.5 million for new academic programs will be used to support graduate aid. The reliance on endowment support to fund the graduate aid budget will be phased out in two years, beginning in FY 2001.
- Each year of the plan assumes \$3.5 million in endowment support for the technology initiative.

New Initiatives:

The FY00 five-year operating and capital budgets include initiatives designed to enhance the quality of academic programs and expand the delivery of non-traditional education programs. The out year projections for these activities will be reviewed and, where necessary, revised in response to changes in enrollment and market forces.

The plan projects that revenue from new initiatives will increase from \$1 million in FY00 to \$11.6 million by FY03.

- **Student Residences:** The following properties will be built/acquired/renovated over the next five years: Howard Johnson, The Aston, The AGC Site, Somers Hall, and Square 43. The AGC site will only partially be used as student residences, as such, we have identified operating revenue and expenses separately on the following schedule. The plan assumes that revenue for the other properties will cover operating expenses and debt service.
- **NEWCO:** Most of the growth in revenue will result from NEWCO (training and development) programs which will increase from \$2.5 million in FY01 to \$5 million in FY03.
- **Fund Raising:** Each year of the plan includes an additional \$1 million in unrestricted fund raising.
- **Mount Vernon Campus:** Renovated facilities at the Mount Vernon campus will be used to expand the University's recreational programs, resulting in an additional \$1 million in revenue beginning in FY01.
- **Old Hospital Site:** The plan assumes \$3 million in annual revenue from a ground lease beginning in FY02.

In addition to the above revenue increases, annual operating expenses will increase \$8.9 million by FY03.

- **Undergraduate Retention:** Funding will be used to improve undergraduate retention by enhancing the quality of academic programs and student support services. Annual funding will increase from \$300,000 in FY00 to \$2.5 million by FY03.
- **Graduate Education:** Beginning in FY01 \$200,000 will be allocated to improve the quality of graduate education programs. This funding will increase to \$1 million by FY03.

New Initiatives:

- **Research:** Beginning in FY01, \$250,000 will be allocated to programs and activities that advance the University's research agenda. Funding will be directed to expanding external funding opportunities and enhancing administrative support systems for research. Annual funding for this initiative will increase to \$1 million by FY03.
- **Technology:** Beginning in FY01, an additional \$1 million will be available to enhance the University's use of technology. This funding will increase to \$3 million by FY03. A summary of the technology initiative is included on page 23.
- **Marketing:** Beginning in FY01 \$200,000 will be allocated to develop and implement strategies to aggressively market the University's programs. This will increase to \$500,000 beginning in FY02.
- **Athletic & Recreational Programs:** An expansion of the athletic and recreation facilities at the Mount Vernon campus will allow the University to enhance its recreational programs, resulting in \$1 million in additional revenue. The revenue will be used to support debt service for the facilities and expand women's sport programs.
- **Operating expenses for facilities** will also increase as a result of the strategic buildings project. In FY03, the proposed NALU and AGC sites will be placed in use, resulting in an additional \$2.3 million in operating expenses. The NALU building will be used to house administrative offices and will enable the University to move certain administrative functions currently located off campus back on campus. This will result in a \$2 million annual reduction in lease expense.
- **Annual Debt Service** associated with the strategic building/development projects included in the proposed five-year capital budget will increase from \$2.9 million in FY00 to \$8.7 million in FY03.

SUMMARY OF FIVE-YEAR PLAN NEW INITIATIVES

(Dollars in Thousands)

	FY 00	FY 01	FY 02	FY 03
Funding:				
NEWCO or Other New Net Revenue	\$0	\$2,500	\$3,000	\$5,000
Increased Fund Raising	1,000	1,000	1,000	1,000
AGC Site Residential Revenue	0	0	0	1,600
Mount Vernon Athletics & Recreation	0	1,000	1,000	1,000
Old Hospital Site Net Commercial Revenue	0	0	3,000	3,000
Total Revenue	\$1,000	\$4,500	\$8,000	\$11,600
Expense:				
Programs:				
Feasibility & Marketing Initiative	\$0	\$200	\$500	\$500
Graduate Education	0	200	500	1,000
Research Initiatives	0	250	500	1,000
Mount Vernon Athletics & Recreation	0	560	576	594
Information Technology	0	1,000	2,000	3,000
Undergraduate Education & Retention	300	1,000	2,500	2,500
Total Programs	\$300	\$3,210	\$6,576	\$8,594
Facilities - Operating:				
NALU Site	\$0	\$0	\$0	\$637
AGC Site	0	0	0	1,680
Off Campus Rent Recapture	0	0	0	(2,000)
Total Facilities - Operating	\$0	\$0	\$0	\$317
Total Expense	\$300	\$3,210	\$6,576	\$8,911
Facilities - Debt Service:				
Mount Vernon Athletics & Recreation	\$0	\$172	\$537	\$537
Mount Vernon Somers Residential Hall	38	269	682	682
Parking Garage Addition	141	437	437	437
Aston Building Purchase & Renovation	898	971	971	971
Howard Johnson Purchase & Renovation	1,307	1,369	1,641	1,641
NALU Site	210	577	655	910
AGC Site	370	1,013	1,731	3,543
Total Facilities - Debt Service	\$2,964	\$4,808	\$6,654	\$8,721

Technology Initiative
\$000

	<u>FY99</u>	<u>FY00</u>	<u>FY01</u>	<u>FY02</u>	<u>FY03</u>	<u>Total</u>
Funding:						
Existing Funds	\$9,410	\$9,730	\$9,750	\$9,750	\$9,850	\$48,490
Technology Initiative (Operating Funds) (a)	\$3,500	\$4,500	\$6,500	\$8,500	\$9,500	\$32,500
Technology Initiative (Endowment Funds)	\$3,500	\$3,500	\$3,500	\$3,500	\$3,500	\$17,500
Other Revenue Increases	\$990	\$1,440	\$1,780	\$1,980	\$2,280	\$8,470
Y2K	<u>\$5,600</u>	<u>\$1,000</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$6,600</u>
Total Funding	\$23,000	\$20,170	\$21,530	\$23,730	\$25,130	\$113,560
Expenditures:						
Administrative Systems (c)	\$17,632	\$18,855	\$13,480	\$11,145	\$10,810	\$71,922
Web Development	\$1,350	\$1,550	\$1,620	\$1,690	\$1,600	\$7,810
Data Network	\$10,610	\$6,820	\$5,950	\$5,650	\$5,040	\$34,070
Academic Tech Support/Administration (b)	\$5,160	\$5,470	\$5,540	\$5,590	\$5,680	\$27,440
Y2K	<u>\$5,600</u>	<u>\$1,000</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$6,600</u>
Total Expenses	\$40,352	\$33,695	\$26,590	\$24,075	\$23,130	\$147,842
Less Depreciation Expense	(\$1,402)	(\$2,715)	(\$3,380)	(\$3,600)	(\$3,530)	(\$14,627)
Total Cash Expenditures	\$38,950	\$30,980	\$23,210	\$20,475 (d)	\$19,600	\$133,215
Annual Cash Deficit	(\$15,950)	(\$10,810)	(\$1,680)	\$3,255	\$5,530	(\$19,655)
Debt Service (interest only)	\$263	\$1,307	\$1,806	\$1,816	\$1,616	\$6,808

(a) The \$1 million annual increase through FY02 is the result of the two-tiered tuition and fee structure that took effect in FY99.

(b) Includes CIRC and the Office of the Chief Information Officer.

(c) Includes additional funds of \$ 1 million in FY01, \$2 million in FY02, and \$3 million in FY03-04 per FY00 approved five year plan.

(d) By FY02 technology cash expenditures drop to \$20.5 million in order to offset cash shortfalls from prior years.

SUMMARY OF PROPOSED FY 2000 FIVE-YEAR BASE CAPITAL BUDGET

- The proposed budget also includes \$32.4 million for the renovation and repair of existing facilities.
- Of this amount \$23.4 million is associated with projects included in the approved FY 99 five-year capital budget presented to the Board last May. The remaining \$9 million reflects new projects. Of this amount, \$6 million is associated with the incorporation of the Mount Vernon campus into the budget.
- About half of the funding (\$17.4 million or 54%) will be used to upgrade academic facilities on the Foggy Bottom, Mount Vernon, and Virginia campuses.
- Another \$7.5 million will be used to repair and renovate facilities used for parking and student housing.
- The remaining \$7.5 million will be used to upgrade administrative facilities and the GW Inn.

SUMMARY OF PROPOSED FY 2000 FIVE-YEAR CAPITAL BUDGET MAJOR DEVELOPMENT PROJECTS

The proposed budget includes over \$471 million to acquire and construct new facilities and to renovate existing facilities on the main campus, as well as at the Virginia and Mount Vernon campuses. These projects are contingent upon achieving enrollment and fund-raising projections as well as the University's continuing financial strength.

Expenditures

The Major Development Projects address critical University priorities, including:

- Provide additional space for the University's academic programs and research activities.
- Increase the University's capacity to house its student population. Over 1,700 beds will be added to the housing inventory by FY 04. Based on enrollment projections included in the proposed five-year operating budget, the University will have the capacity to house 65% of its undergraduate population, compared to 53% in the current year.
- Provide additional facilities for recreational, cultural, and social activities for students, faculty and staff.

About 58% (\$271.5 million) of total Major Development project spending is associated with projects included in the FY 99 five-year capital budget presented to the Board last May. These include:

- \$45 million - Science Building
- \$36 million - Health & Wellness Center (189,000 gsf)
- \$27 million - Media & Public Affairs Building (142,000 gsf)
- \$32 million - new residence hall (500 beds)
- \$40 million - new Law School Building (150,000 gsf)
- \$30 million - new School of Business & Public Management Building (110,000 gsf)
- \$26 million - renovation of the Marvin Center
- \$10 million - expansion of existing Law School facilities

The proposed budget includes \$200.2 million in new Major Development projects, including:

- \$71 million for the acquisition and renovation of the AGC site (240,000 gsf). The site will become the home of the Elliott School and also serve as a 200-bed residential facility.
- \$30.2 million for the acquisition and renovation of the NALU site (91,000 gsf). The site will house administrative offices and will allow some administrative functions to move back on campus. The project will also free up space within Rice Hall for the creation of a Student Service Center.
- \$21.4 million for the acquisition and renovation of the Howard Johnson Hotel. The building will serve as a 400-bed residential facility.
- \$25 million for a new building for the School of Engineering.

SUMMARY OF PROPOSED FY 2000 FIVE-YEAR CAPITAL BUDGET MAJOR DEVELOPMENT PROJECTS

- \$15 million for a new Academic Building at the Virginia Campus.
- \$12.8 million for the acquisition and renovation of the Aston. The building will serve as a 200-bed residential facility.
- \$10 million for the expansion of athletic and recreational facilities at the Mount Vernon Campus.
- \$8.9 million for the expansion of Somers Hall at the Mount Vernon campus.

Funding

Of the \$471 million in Major Development projects, \$350 million (74%) will be funded with debt. This includes \$167.8 million in projects that were included in last year's five-year capital budget and \$182.2 million in new projects.

Another \$55.8 million in funding is contingent upon fund-raising and includes the following projects:

- \$20 million for the new Law School Building
- \$15 million for the Virginia Campus Building
- \$10 million for the new School of Business and Public Management Building
- \$4 million for the Health and Wellness Center
- \$3 million for the Media and Public Affairs Building
- \$3 million for the athletic and recreational facilities at the Mount Vernon campus

Strategies for achieving these goals have been put in place as part of the Centuries Campaign.

Endowment funds will provide an additional \$44.8 million in support for Major Development Projects. This includes:

- \$20 million for the new Law School
- \$20 million for the new School of Business and Public Management
- \$3.3 million for the Mid Campus Quad
- \$1.5 million for classrooms in the Media and Public Affairs Building and the Marvin Center

A summary of Major Development Project funding through completion is provided on page 33. Annual expenditures for each of the projects during the period covered by the five-year capital budget are provided on page 34.

THE GEORGE WASHINGTON UNIVERSITY
PROPOSED FY 00 FIVE-YEAR CAPITAL BUDGET
MAJOR DEVELOPMENT PROJECT FUNDING
TOTAL PROJECT THROUGH COMPLETION
(Excluding the Medical Center)
(In Thousands of Dollars)

SUMMARY OF FUNDING

		Debt	Plant/ Gifts	Endowment	Total Completion
New Building	Health and Wellness Center	\$32,000	\$4,000		\$36,000
New Building	On Campus Housing Square 43	32,000			32,000
* New Building	Science Building	45,000			45,000
Marvin Center	Renovation and Expansion	15,400	10,100	\$500	26,000
New Building	Media & Public Affairs	23,000	3,000	1,000	27,000
Mid Campus Quad	Redevelopment		950	3,300	4,250
Campus Plan	Update		800		800
1916, 1918 F Street	Convert Townhouses to University Club	3,621			3,621
* West End	Renovation of West End	9,750			9,750
Gelman Library	Renovation of 6th & 7th floors	6,000			6,000
2003 G Street	Law School Addition, Expansion & Backfill		10,000		10,000
* New Building	SBPM - Square 56 & Backfill		10,000	20,000	30,000
* New Building	Law School 20th & H Streets		20,000	20,000	40,000
Renovation	2033, 2035, 2037 F Street - NROTC, Museum Studies Offices	1,100			1,100
SUBTOTAL PROJECTS IN FY99 CAPITAL BUDGET		167,871	58,850	44,800	271,521
Parking Garage	University Parking Garage Extension	5,900			5,900
Renovation	NALU Building Purchase & Renovation	30,200			30,200
New Building	AGC Site - Offices/Student Housing	71,000			71,000
Mount Vernon College	Athletic Facilities	7,000	3,000		10,000
Mount Vernon College	Somers Residence Hall Expansion	8,900			8,900
New Building	Howard Johnson Acquisition & Renovations	21,400			21,400
New Building	Aston Acquisition & Renovations	12,800			12,800
* New Building	Engineering Building	25,000			25,000
* Virginia Campus	New Academic Building		15,000		15,000
SUBTOTAL NEW PROJECTS		182,200	18,000	0	200,200
TOTAL MAJOR DEVELOPMENT PROJECTS		\$350,071	\$76,850	\$44,800	\$471,721

Source of Funding:

Debt
Plant
Gifts
Endowment
Total

Forecast Through FY99	FY00	FY01	FY02	FY03	Total FY99-03	Total Completion
\$54,409	\$63,562	\$61,700	\$52,150	\$36,000	\$267,821	\$350,071
3,500	10,560	5,000	1,500	500	21,060	21,060
750	2,040	8,000	0	20,000	30,790	55,790
3,800	500	500	0	0	4,800	44,800
\$62,459	\$76,662	\$75,200	\$53,650	\$56,500	\$324,471	\$471,721

Bold = Projects included in FY99 Five Year Capital Budget

Italics = New Projects

* = Projects completed after FY03.

THE GEORGE WASHINGTON UNIVERSITY
PROPOSED FY 00 FIVE-YEAR CAPITAL BUDGET
MAJOR DEVELOPMENT CAPITAL PROJECTS
(Excluding the Medical Center)
(In Thousands of Dollars)

Building	Description	Forecast					Total	Total
		FY99	FY00	FY01	FY02	FY03	FY99-03	Completion
MAJOR DEVELOPMENT PROJECTS:								
New Building	Health and Wellness Center	\$5,300	\$13,700	\$17,000	\$0	\$0	\$36,000	\$36,000
New Building	On Campus Housing Square 43	-	2,000	8,000	22,000	-	32,000	32,000
* New Building	Science Building	-	-	-	-	1,000	1,000	45,000
Marvin Center	Renovation and Expansion	3,000	9,500	13,500	-	-	26,000	26,000
New Building	Media & Public Affairs	2,700	12,000	12,300	-	-	27,000	27,000
Mid Campus Quad	Redevelopment	3,300	950	-	-	-	4,250	4,250
Campus Plan	Update	250	550	-	-	-	800	800
1916, 1918 F Street	Convert Townhouses to University Club	3,259	362	-	-	-	3,621	3,621
* West End	Renovation of West End	5,050	1,300	1,000	650	500	8,500	9,750
Gelman Library	Renovation of 6th & 7th Floors	6,000	-	-	-	-	6,000	6,000
2003 G Street	Law School Addition, Expansion & Backfill	250	2,750	5,000	1,500	500	10,000	10,000
* New Building	SBPM - Square 56 & Backfill (Funger)	-	-	-	-	10,000	10,000	30,000
* New Building	Law School 20th & H Streets	-	-	-	-	10,000	10,000	40,000
Renovation	2033, 2035, 2037 F Street - NROTC, Museum Studies Offices	700	400	-	-	-	1,100	1,100
SUBTOTAL PROJECTS IN FY99 CAPITAL BUDGET		29,809	43,512	56,800	24,150	22,000	176,271	271,521
Parking Garage	University Parking Garage Extension	-	5,900	-	-	-	5,900	5,900
* New Building	NALU Building Purchase & Renovation	-	8,500	700	2,000	7,000	18,200	30,200
New Building	AGC Site - Offices/Student Housing	-	15,000	1,000	27,500	27,500	71,000	71,000
Mount Vernon College	Athletic Facilities	750	1,250	8,000	-	-	10,000	10,000
Mount Vernon College	Somers Residence Hall Expansion	200	1,000	7,700	-	-	8,900	8,900
New Building	Howard Johnson Acquisition & Renovations	19,400	1,000	1,000	-	-	21,400	21,400
New Building	Aston Acquisition & Renovations	12,300	500	-	-	-	12,800	12,800
* New Building	Engineering Building	-	-	-	-	-	-	25,000
* Virginia Campus	New Academic Building	-	-	-	-	-	-	15,000
SUBTOTAL NEW PROJECTS		32,650	33,150	18,400	29,500	34,500	148,200	200,200
TOTAL MAJOR DEVELOPMENT PROJECTS		\$62,459	\$76,662	\$75,200	\$53,650	\$56,500	\$324,471	\$471,721

Bold = Projects Included in FY99 Five Year Capital Budget

Italics = New Projects

* = Projects completed after FY03.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Following is a summary of trends over the last five years (FY 94 through FY 98) and the projected trends for the next five years (FY 99 through FY 03) based on the assumptions used in developing the proposed five-year plan. All FY 94 – FY 98 data exclude the Mount Vernon campus. Beginning in FY 99, the Mount Vernon campus has been incorporated into the data.

Sources of Funds

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none">• Revenue increased \$98.8 million (41%), reaching \$341.8 million. The increases occurred in the following areas:<ul style="list-style-type: none">• 50% (\$49.3 million) - Net Tuition and Fees• 18% (\$17.6 million) - Auxiliary Enterprises• 14% (\$13.7 million) - Grants and Contracts• 8% (\$8.3 million) - Endowment Support• 7% (\$6.6 million) - Contributions• 3% (\$3.3 million) - Other• In FY 98 net tuition and fee revenue represented about 60% of total revenue.	<ul style="list-style-type: none">• Revenue is projected to reach \$445.9 million by FY 03, an increase of \$88.2 million (25%). Increases are projected to occur in the following areas:<ul style="list-style-type: none">• 66% (\$58.5 million) - Net Tuition and Fees• 16% (\$13.7 million) - Auxiliary Enterprises• 10% (\$8.4 million) - Grants and Contracts• 5% (\$4.1 million) - Endowment Support• 3% (\$3.0 million) - Contributions• In FY 03 net tuition and fee revenue will represent about 61% of total revenue.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Net Tuition and Fee Revenue

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none">• Undergraduate net tuition revenue grew from 34% of total net tuition and fee revenue to 42%.• Graduate net tuition revenue fell from 35% of total net tuition and fee revenue to 30%• Virtually all of the growth in graduate net tuition revenue occurred in off campus programs.• Off campus graduate programs increased from 19% of all graduate revenue in FY 94 to 30% in FY 98.	<ul style="list-style-type: none">• Undergraduate net tuition revenue will grow from 42% of total net tuition and fee revenue to 48%.• Graduate net tuition revenue will fall from 30% of total net tuition and fee revenue to 27%• Off campus graduate programs will remain at about 30% of all graduate revenue throughout this period.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Enrollment (FTEs)

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none">• Enrollment increased by 1,049 students (8%), to 13,615 students. The increases occurred in the following areas:• 89% (938 students) - Undergraduate• 17% (174 students) - Graduate (This includes a decrease of 300 students in on campus programs and an increase of 474 students in off campus programs)• -6% (-63 students) - Other (primarily Law)	<ul style="list-style-type: none">• Enrollment is projected to increase 1,659 students (12%) to 15,279 students. The projected increases will occur in the following areas:• 80% (1,327 students) - Undergraduate. Mount Vernon campus enrollment accounts for 28% (466 students) of the increase.• 24% (390 students) - Graduate. Most of the growth is projected at the off campus level.• -4% (-58 students) - Other (primarily Law)

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Pricing

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none">• The total cost of an undergraduate education (tuition, fees, room, and board) increased between 3.7% and 6.7% annually.• The undergraduate tuition discount rate fell from 43.7% to 34.8%, helping to generate more net tuition revenue.• Graduate on campus tuition and fees increased between 4% and 6.4% annually.• The graduate tuition discount rate increased from 18% to 24.3%, and the number of graduate students supported by aid increased from 22% to 33%.• Off campus program rates ranged between 60% and 100% of on campus rates.	<ul style="list-style-type: none">• Undergraduate costs will increase 4.6% for new students and 3.6% for continuing students next year. In subsequent years, increases will range between 4.0% and 4.7%.• The undergraduate tuition discount rate will remain at approximately 34%.• Graduate on campus tuition and fees will increase between 3% and 3.6% annually.• The graduate on campus tuition discount rate will remain at 24%.• With projected 2% annual increases, off campus graduate tuition will range between 58% and 100% of on campus rates.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Expenditures

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none"> • Expenditures (net of allocations to the Medical Center) increased \$91.3 million (38%), reaching \$334.2 million in FY 98. The increases occurred in the following areas: • 47% (\$42.7 million) - Academic Programs and Research • 7% (\$6 million) - Student Support • 10% (\$9.4 million) - Auxiliary Enterprises • 6% (\$5.2 million) - Technology • 8% (\$6.9 million) - General Operations • 2% (\$2.3 million) - Bad Debt Expense • 4% (\$4 million) - Debt Service • 11% (\$10.2 million) - Capital and Other • In addition to the above, the allocation of administrative expense to the Medical Center decreased by \$4.6 million. 	<ul style="list-style-type: none"> • Expenditures are projected to reach \$445.9 million by FY 03, an increase of \$88.2 million (25%). The projected increase is expected to occur in the following areas: • 42% (\$36.9 million) - Academic Programs and Research • 4% (\$3.3 million) - Student Support • 2% (\$2.3 million) - Auxiliary Enterprises • -5% (-\$4.7 million) - Technology – FY 99 includes \$5.6 million in one-time expenses for the Y2K Initiative. Excluding this initiative, Technology will increase about \$1 million by FY 03. • 13% (\$11.7 million) - General Operations • 1% (\$0.9 million) - Bad Debt Expense • 21% (\$18.3 million) - Debt Service – (primarily associated with the Major Development Projects included in the proposed five-year capital budget) • 22% (\$19.5 million) - Capital and Other • No increase in the allocation of administrative expense to the Medical Center is projected through FY 03.

EXPENSE SUMMARY BY FUNCTION										
	FY94	FY95	FY96	FY97	FY98	FY99	FY00	FY01	FY02	FY03
ACADEMIC:										
Instruction	\$111,423	\$120,968	\$124,850	\$132,695	\$138,660	144,040	150,120	157,746	167,447	172,489
Libraries	9,398	10,406	10,600	11,609	12,100	12,778	13,171	13,559	13,944	14,331
Research	\$26,901	\$27,173	\$28,679	\$32,410	\$39,624	44,904	46,886	48,039	49,877	51,788
Subtotal	\$147,722	\$158,547	\$164,129	\$176,714	\$190,384	\$201,722	\$210,177	\$219,344	\$231,268	\$238,608
STUDENT SUPPORT:										
Student Services	\$13,974	\$14,916	\$15,723	\$16,548	\$18,128	18,885	19,297	19,837	20,553	21,310
Other	6,104	6,503	7,045	7,435	7,930	7,697	7,571	8,308	8,463	8,621
Subtotal	\$20,078	\$21,419	\$22,768	\$23,983	\$26,058	\$26,582	\$26,868	\$28,145	\$29,016	29,931
AUXILIARY ENTERPRISES	\$23,177	\$25,129	\$26,945	\$32,627	\$32,602	\$34,458	\$35,810	\$36,240	\$36,473	\$36,731
TECHNOLOGY	\$5,879	\$5,733	\$6,330	\$7,635	\$11,111	\$21,082	\$18,041	\$16,783	\$16,875	\$16,338
GENERAL OPERATIONS:										
Administration & General	24,217	26,653	27,620	30,023	29,277	33,043	34,587	34,823	35,678	36,655
Maintenance & Operation of Plant	16,292	16,266	17,684	17,931	18,136	20,190	21,431	23,193	24,776	28,303
Subtotal	\$40,509	\$42,919	\$45,304	\$47,954	\$47,413	\$53,233	\$56,018	\$58,016	\$60,454	\$64,958
BAD DEBT	\$951	\$473	\$1,505	\$2,293	\$3,204	\$3,241	\$3,524	\$3,760	\$3,948	\$4,112
DEBT SERVICE	\$12,761	\$14,527	\$15,886	\$14,591	\$16,719	\$19,797	\$23,614	\$30,677	\$33,892	\$38,118
CAPITAL & OTHER	\$1,162	\$8,751	\$7,719	\$9,048	\$11,409	\$2,294	\$11,017	\$13,391	\$18,321	\$21,799
GRAND TOTAL EXPENSES	\$252,238	\$277,498	\$290,588	\$314,845	\$338,901	\$362,409	\$385,069	\$406,356	\$430,247	\$450,595
Less Medical Center Allocation	(9,324)	(9,396)	(9,300)	(8,901)	(4,681)	(4,646)	(4,646)	(4,646)	(4,646)	(4,646)
EXPENSES AFTER ALLOCATIONS	\$242,914	\$268,102	\$281,288	\$305,944	\$334,220	\$357,763	\$380,423	\$401,710	\$425,601	\$445,949

FY94 - FY98 Excludes Mount Vernon. FY99 - FY03 Includes Mount Vernon.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

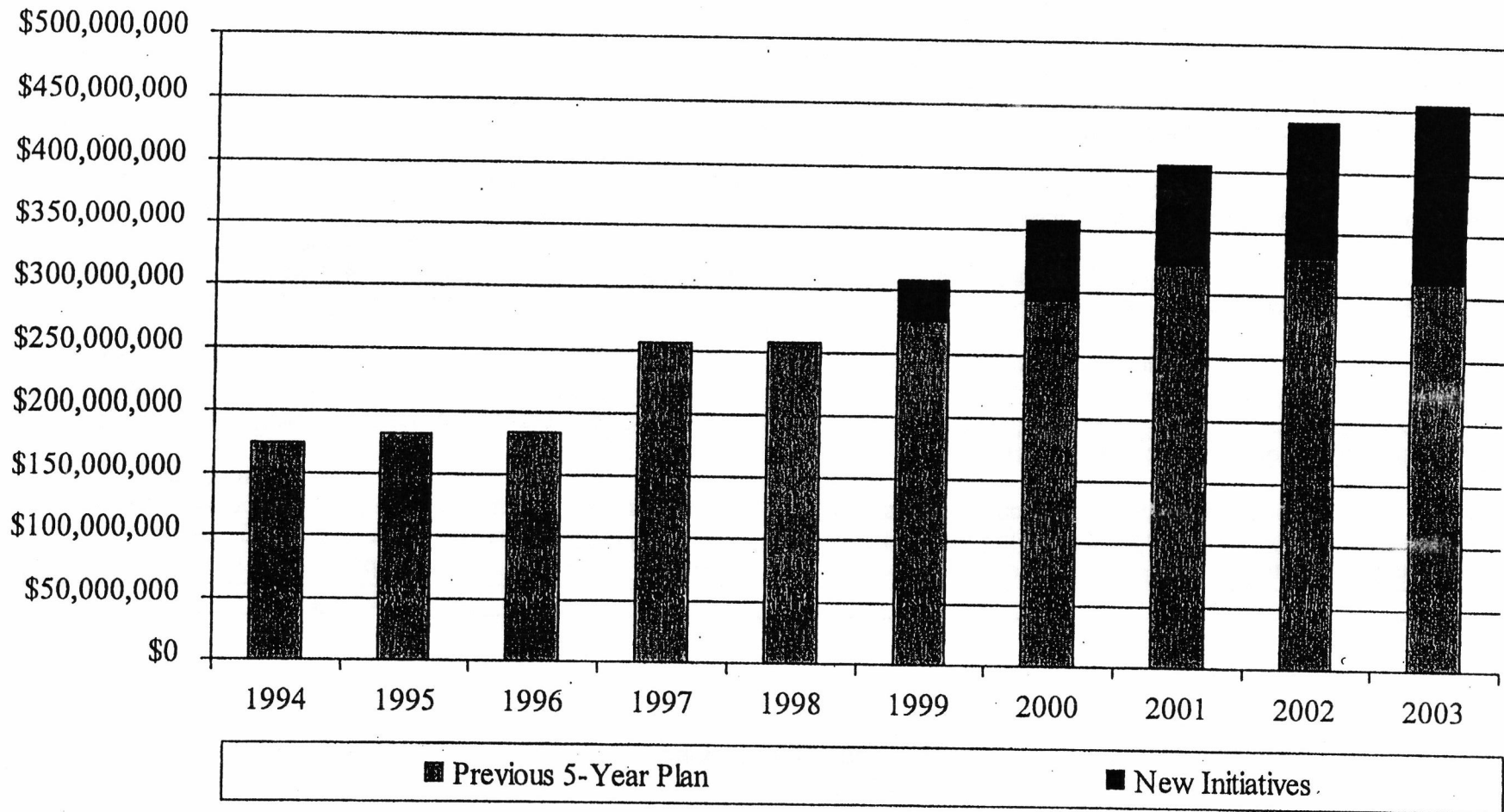
Outstanding Debt

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none"> • Consolidated debt, including the Medical Center and the endowment, grew \$82.9 million (47%), reaching \$257.5 million outstanding in FY 98. The increase occurred in the following areas: • 38% (\$31.8 million) - University (non-medical, non-endowment, including \$12.3 million for Mount Vernon College) • 74% (\$60.9 million) - Endowment (the acquisition of our former partner's interest in 2000 Pennsylvania Avenue and the GW Inn) non-recourse debt • -12% (-\$9.8 million) - Medical Center (scheduled principal repayments) 	<ul style="list-style-type: none"> • Consolidated debt is projected to increase \$146.7 million (48%), reaching \$454.5 million by FY 03. The projected increase will occur in the following areas: <ul style="list-style-type: none"> • 117% (\$171.4 million) - University (including scheduled principal repayments plus Major Development Projects included in the proposed five-year capital budget) • -10% (-\$13.9 million) - Endowment (scheduled principal repayments) • -7% (-\$10.8 million) - Medical Center (scheduled principal repayments) • The proposed five-year capital budget includes \$267.8 million in strategic building/development projects funded with debt.

DEBT OUTSTANDING (1) (2)

Fiscal Year End

38



(1) Previous 5-Year Plan includes base outstanding plus Previous 5-Year Plan Strategic Building/ Development Projects.

(2) New Debt includes Proposed New Initiatives.

SUMMARY OF HISTORICAL TRENDS & BUDGET PROJECTIONS

Debt Service

FY 94 – FY 98	FY 99 – FY 03
<ul style="list-style-type: none">• Annual debt service increased \$9.6 million (43%), reaching \$32 million in FY 98. The increase occurred in the following areas:• 21% (\$2 million) - University (non-medical, non-endowment, including Mount Vernon)• 79% (\$7.6 million) - Endowment	<ul style="list-style-type: none">• Annual debt service is projected to increase \$20.5 million (66%), reaching \$51.7 million by FY 03.• Virtually all of this increase is in University-related debt required for strategic building/development projects included in the previous five-year plan and the proposed new initiatives.

DEBT SERVICE AND OTHER BURDENS ON THE OPERATING BUDGET

[See pages 31-32 (above), 35, 38, 39, and 16 -17]

The Five-Year Capital Budget anticipates a total of \$471 million in new development expenditures, some of which will extend beyond FY03. This represents a \$200 million (74%) increase from the preceding (FY99) budget.

New debt will be used to finance 75% of the total expenditures and 91% of the increase in this year's budget. There will be a 76% increase in the level of debt over five years, reaching \$455 million in FY03. Approximately \$300 million in new bonds have already been sold. Of these, \$136 million are fixed-rate bonds, and the remainder variable rate.

The remaining portion of total expenditures will be financed by a combination of capital allocations from the operating budget, fund-raising, and endowment funds.

The implications of this Capital Budget for the university operating budget are as follows:

Debt Service (See p. 38-39)

- Annual debt service on university debt would increase from \$19.8 million in FY99 to \$34.8 million in FY03, a 76 percent rise. (This latter figure is an update of that in the May, 1999 Budget document, as supplied by the Office of Vice President and Treasurer.) Debt service will account for about 8% of the university operating budget in FY03, up from its recent average of 5%.

- Of the \$15 million increase in annual debt service, \$8.7 million arises specifically from the new capital expenditures in the FY00 Budget, the rest from capital expenditures initiated in the previous budget.

- Debt service on consolidated debt (university plus medical center and endowment) is scheduled to rise from \$31.2 million to \$48.3 million during this five-year period, a 55% increase.

- Moody's review of GW's debt rating resulted in a lowering from A1 to A2 as a result of this added borrowing. The report commented favorably on GW's financial resources, market position, and debt restructuring. But it also noted that GW would be "the most highly leveraged private university in the A2 rating category" and cautioned that continuing losses at the medical center could have a further "negative impact." S&P assigned a single-A rating to the new DC revenue bonds issued for GWU.

Capital Allocation [See p. 16-17]

- The new Budget is also based on a significant increase in the allocation of annual university revenues directly to the capital account. This allocation will amount to \$21.8 million in FY03, nearly double its previous maximum.

•Debt service plus this capital allocation will total \$56.6 million in FY03, up from \$22.8 million in FY99. This will constitute 12.7% of university revenues, five percentage points more than its recent average.

•The largest year-over-year increase in debt service will occur in the next fiscal year, with a \$9.5 million in added costs. The total of debt service plus capital allocation is increasing in the current fiscal year by \$12.9 million and by an additional \$11.9 million in FY01.

[Note: In each case the numbers used in this summary represent the most current available data. Since we do not have an update of all figures in the May, 1999 Budget document, some may not be fully consistent.]

John Kwoka/Economics
Frederick Lindahl/Accountancy

**Projected Additions to the
General Purpose Classroom Inventory**

Prepared for the Fiscal Planning and Budgeting Committee
of the Faculty Senate
25 February 2000

Additions to the **quantity** of classrooms:

Media and Public Affairs Building (expected Spring 2001 semester)

General Purpose classrooms: 3 100-seat rooms
 1 50-seat room
 2 seminar rooms (15-20 seats)
 1 or 2 rooms in Phillips Hall currently used by
 SMPA (~20 seats)

Dedicated classroom space: all SMPA seminar rooms and computer laboratories
all teaching studios for Electronic Media
conference/seminar rooms for Public Policy, Public
Administration, Graduate School of Political
Management

1957 E St. (AGC site) (expected Fall 2002 semester)

General Purpose classrooms: 2 300-seat rooms
 1 150-seat room
 1 100-seat room
 5 40-70 seat rooms
 9 20-30 seats rooms
 3 computer classrooms of variable design

Note: 3 floors of this building will be occupied by the Elliott School of International
Affairs. This space will include dedicated conference/seminar rooms.

School of Business and Public Management Building (expected date of completion
undetermined)

General Purpose classrooms: 1 150-seat room
 8 50-seat rooms
 6 25-seat rooms

*** It is anticipated that a majority of SBPM courses will be housed in these
classrooms, thereby freeing a substantial number of scheduling slots in
general purpose classrooms.

Note: It is anticipated that with the opening of the new building at 1957 E St., a number of classrooms in Stuart and Lisner Halls will be made available to the Law School. This will include 5 rooms ranging from 50 – 104 seats; 4 rooms with between 20 and 30 seats; and 10 small rooms with less than 20 seats, 5 of which have only 10 seats.

Additions to the **quality** of classrooms:

Key principles:

1. Rooms with 40 or more seats will be tiered;
2. Most new classrooms will be equipped with instructional technology that will facilitate use of multimedia presentations, including materials available via the www;
3. Some rooms will be equipped with an electronic student response system such as the one that is being used very successfully in Corcoran 101;
4. Some rooms will be equipped for distance education and video teleconferencing.

The goal of these qualitative enhancements is to foster a high level of interactivity in the learning environment and facilitate implementation of innovative pedagogical approaches such as inquiry-based learning.

REPORT OF THE EXECUTIVE COMMITTEE

March 10, 2000

Professor Lilien F. Robinson, Chair

1. ELECTION OF THE EXECUTIVE COMMITTEE FOR THE 2000-2001 SESSION

The election of the Chair and the members of the new Executive Committee for the 2000-01 Session, beginning in May, will take place at the April Senate meeting.

2. RESOLUTION ON SEXUAL HARASSMENT POLICY AND PROCEDURES

As indicated earlier, we expect that the Senate will be considering the Resolution on Sexual Harassment Policy and Procedures at the April meeting.

3. OTHER MATTERS

The Executive Committee at the April meeting will propose nominees for election to the Dispute Resolution Committee, including a Chair, and make recommendations for appointment by the President to various Administrative Committees.

I have also been asked to remind faculty who have not done so to submit for the President's Report information on their scholarly/creative work produced during the last year. While some 1,060 items have been received as of February, some members of the faculty have yet to respond. Please remind your colleagues to respond as soon as possible. These may be submitted to the Deans or directly to Vice President Linebaugh's office.

4. ANNOUNCEMENTS

The next meeting of the Executive Committee is scheduled for March 31st. Reports and resolutions for the April Senate meeting should be received by the Executive Committee before that date.

THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

The Faculty Senate

February 28, 2000

The Faculty Senate will meet on Friday, March 10, 2000, at 2:10 p.m. in the Alumni House, First Floor, 1925 F Street, NW.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meetings of January 21 and February 4, 2000, respectively, as distributed
3. Annual Report on Recruitment and Appointment of Women and Faculty of Color by Vice President Donald R. Lehman

4. Resolution:

A RESOLUTION TO ENDORSE THE POLICIES AND PROCEDURES GOVERNING SEXUAL HARASSMENT COMPLAINTS (99/6); Professor Linda L. Gallo and Executive Associate Dean Edward Caress, Co-Chairs, Ad Hoc Committee to Review Interim Policy and Procedures Governing Sexual Harassment Complaints (Resolution 99/6 with accompanying Report attached)

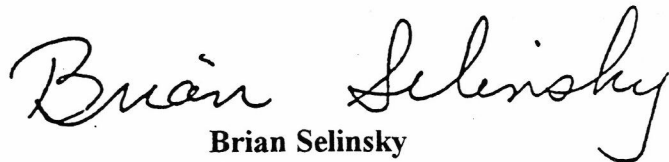
5. Introduction of Resolutions

6. General Business:

- (a) Nomination for election of seven faculty members, including the Faculty Co-Chair, to the Joint Faculty-Administration Task Force on the Proposed College of Professional Studies (nominees to be announced)
- (b) Nomination for election of the Nominating Committee for the new Executive Committee for the 2000-01 Session (nominees to be announced)
- (c) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
- (d) Interim Reports of Senate Committee Chairs

7. Brief Statements (and Questions)

8. Adjournment



Brian Selinsky
Secretary

A RESOLUTION TO ENDORSE THE POLICY AND PROCEDURES
GOVERNING SEXUAL HARASSMENT COMPLAINTS (99/6)

WHEREAS, the Faculty Senate, in a meeting on December 11, 1998, passed a resolution to refer the Interim Policy and Procedures Governing Sexual Harassment Complaints to an Ad Hoc Committee for review, and

WHEREAS, the Ad Hoc Committee has reviewed the Interim Policy and Procedures and, based upon wide-ranging consultation, the study of sexual harassment policies from other institutions, the study of sexual harassment literature and court cases, has recommended changes to the Interim Policy and Procedures both in the interests of clarification and simplification and in substance, and

WHEREAS, the Faculty Senate resolution of December 11, 1998, directed the Ad Hoc Committee to report its recommendations with respect to any changes to the Interim Policy and Procedures Governing Sexual Harassment Complaints to the Faculty Senate.
NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY :

That the Faculty Senate endorses the Policy and Procedures Governing Sexual Harassment Complaints as recommended by the Ad Hoc Committee.

Ad Hoc Committee to Review Interim Policy and
Procedures Governing Sexual Harassment Complaints
January 12, 2000

Report of the Ad Hoc Committee to Review the Interim Policy and Procedures on
Sexual Harassment Complaints

To

The Faculty Senate of the George Washington University

January 12, 2000

BACKGROUND: The Faculty Senate on December 11, 1998 passed a resolution calling for the appointment of an Ad Hoc Committee on Policies and Procedures Governing Sexual Harassment Complaints. The Ad Hoc Committee, to be jointly appointed by the Vice President for Academic Affairs and the Chair of the Executive Committee of the Faculty Senate, was to include the Assistant Vice President for Faculty Personnel, the Associate Vice President for Student and Academic Support Services, broad representation from all sectors of the University's academic community with the majority of the membership from the faculty. The Ad Hoc Committee was to review the Interim Policy and Procedures Governing Sexual Harassment. The review was to be informed by wide-ranging consultation, sexual harassment policies of other universities, and literature on sexual harassment in the university setting.

The Ad Hoc Committee was appointed on March 10, 1999 and was called together for its initial meeting on May 18, 1999. The Ad Hoc Committee, with few exceptions, met weekly for ninety minute sessions through January 10, 2000.

THE COMMITTEE WORK: The vision of the Ad Hoc Committee from the outset was to clarify and simplify the Interim Policy and Procedures. This required sorting policy from procedures, eliminating redundant language, organizing the procedural steps in a linear fashion, and in some cases modifying the vocabulary. In addition, the Ad Hoc Committee identified substantive issues in the policy and procedures deserving further discussion. In identifying these issues, the Ad Hoc Committee was aided by: the earlier debate on the floor of the Faculty Senate; consultation with members of the university community (we thank them for their input and time) ; and the present status of the law (we thank Martin Michaelson, outside counsel, for his reasoned advice). After much debate, the Ad Hoc Committee agreed upon one set of rational responses to sexual harassment issues--- certainly not the only responses. Our final recommendations were guided by sexual harassment policies from other universities (11), literature on sexual harassment in the academic setting (eg., AAUP Policy Documents and Reports, Federal Register-Office of Civil Rights-Sexual Harassment Guidance), recent Supreme Court cases, the wise advice of members of the university community, and some measure of common sense.

The first "final " draft of the Policy and Procedures was circulated to the university members with whom we had consulted earlier, to some university members not previously

consulted, and to the Executive Committee of the Faculty Senate with the invitation for comments. The comments of those who responded were considered carefully in the committee and discussed with the commentator. Additional changes were made to the Policy and Procedures resulting in the draft that was approved unanimously by the Ad Hoc Committee on January 10, 2000 and that is recommended to the Faculty Senate.

THE POLICY AND PROCEDURES GOVERNING SEXUAL HARASSMENT
COMPLAINTS : attached

[AS RECOMMENDED BY THE AD HOC COMMITTEE ON
POLICY AND PROCEDURES GOVERNING SEXUAL
HARASSMENT COMPLAINTS, JANUARY 10, 2000]

SEXUAL HARASSMENT POLICY AND PROCEDURES

First principles

The George Washington University is committed to maintaining a positive climate for study and work, in which individuals are judged solely on relevant factors, such as ability and performance, and can pursue their activities in an atmosphere that is free from coercion and intimidation. The University mission statement provides that the University "values a dynamic, student-focused community stimulated by cultural and intellectual diversity and built upon a foundation of integrity, creativity, and openness to exploration of new ideas." Sexual harassment is destructive of such a climate and will not be tolerated in the University community.

Objectives

This policy and these procedures aim to inform members of the University community what sexual harassment is and what they can do should they encounter or observe it. The University prohibits sexual harassment by any student, staff member, faculty member, and others in the University community; encourages reporting of sexual harassment before it becomes severe or pervasive; identifies accessible persons to whom sexual harassment may be reported; requires persons (whether faculty, staff or student) in supervisory or evaluative roles to report sexual harassment complaints to appropriate officials; prohibits retaliation against persons who bring sexual harassment complaints; assures confidentiality to the full extent consistent with the need to resolve the matter appropriately; assures that allegations will be promptly, thoroughly, and impartially addressed; and provides for appropriate corrective action.

The ultimate goal is to prevent sexual harassment, through education and the continuing development of a sense of community. But if sexual harassment occurs, the University will respond firmly and fairly. As befits an academic community, the University's approach is to consider problems within an informal framework when appropriate, but to make formal procedures available for use when necessary.

What sexual harassment is

The University has adopted the following definition of sexual harassment, substantially derived from Equal Employment Opportunity Commission and Department of Education statements:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when (1) submission to such conduct is explicitly or implicitly made a term or condition of academic participation or activity, educational advancement, or employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions that affect the individual; (3) such conduct has the purpose or effect of unreasonably interfering with an individual's academic or work performance or limiting participation in University programs; or (4) the intent or effect of such conduct is to create an intimidating, hostile, or offensive academic or work environment. Sexual harassment may occur without regard to either party's gender.

A person who commits sexual harassment in violation of this policy will be subject to disciplinary action, up to and including expulsion or termination.

Prevention; dissemination of information

The University is committed to preventing and remedying sexual harassment of students, faculty, and staff. To that end, this policy and these procedures will be disseminated in the University community. In addition, the University will sponsor programs to inform students, faculty, and staff about sexual harassment and the problems it causes; advise members of the University community of their rights and responsibilities under this policy and these procedures; and train personnel in the administration of the policy and procedures.

Academic freedom

The University is committed to free inquiry, free expression, and the vigorous discussion and debate on which advancement of its mission depends. Nothing in this policy limits academic freedom, guaranteed by the Faculty Code, which is a pre-eminent value of the University. Sexual harassment is outside the protected boundaries of academic freedom. Sexual harassment compromises the integrity of the University, the University's tradition of intellectual autonomy, and the mutual regard that is a basic value in University life.

Consensual relationships

Relationships that are welcomed by the parties do not entail sexual harassment, and are beyond the scope of this policy. Whether a relationship is in fact welcomed will be gauged according to the circumstances; special risks are involved when one party -- whether a faculty member, staff member or student -- is in a position to evaluate or exercise authority over the other. Even when both parties previously consented to a sexual relationship, a charge of sexual harassment may be based on subsequent conduct that one of them does not welcome. Members of the University community are cautioned that consensual relationships, as well as relationships that are not consensual, can in some circumstances entail abuse of authority, conflict of interest, or other adverse consequences that may be addressed in accordance with pertinent University policy and practice.

What to do

Three avenues of redress are available to members of the University community who believe that sexual harassment has occurred -- consultation, informal complaint, and formal complaint. Often, concerns can be resolved through consultation or informal complaint. If a person who made allegations of sexual harassment or a person against whom allegations were made believes that the allegations were not satisfactorily resolved through the consultation or informal complaint process, a formal complaint may be pursued.

Consultation

A member of the University community who is uncomfortable with one or more instances of conduct of a sexual nature that may be

inappropriate (even if the person is unsure whether the conduct constitutes sexual harassment) may initiate consultation regarding the matter, by contacting the Office of the Vice President and General Counsel. That Office will assign a Coordinator to the case and arrange an initial consultation. The Coordinator will provide a copy of the sexual harassment policy and procedures, respond to questions about them, assist in developing strategies to deal with the matter, and work in accordance with the procedure set forth in Appendix A.

Alternatively, the individual may discuss the matter with the Director of the Office of Equal Employment Activities, the Dean of Students, or the Assistant Vice President in the Office of Faculty Recruitment and Personal Relations, any of whom may determine the need to refer the matter to the Office of the Vice President and General Counsel, for assignment to a Coordinator.

Informal complaint

An informal complaint, which is initiated in the same manner as a consultation, entails an investigation by the Coordinator of the charges in accordance with Appendix B.

Formal complaint

The formal complaint procedure is available following an informal complaint. If a person who made allegations of sexual harassment (the "Complainant") or a person against whom allegations were made (the "Respondent") believes that the allegations were not satisfactorily resolved through the informal complaint process, a formal complaint may be initiated.

A formal complaint is initiated by submitting to the Coordinator a signed, written request to proceed with a formal complaint. The request is due within 15 business days after the person receives from the responsible University official a statement of the disposition of the informal complaint process. The Coordinator will inform the requesting party of the process that will be followed and provide a copy of the applicable procedure.

The Code of Student Conduct will govern the formal complaint process when both parties are students or when the Respondent is a student or a student organization, regardless of the status of the Complainant. The applicable staff grievance procedures will govern the formal complaint process when both parties are staff

members. The formal complaint will be heard by a special panel, in accordance with Appendix C, when: (a) the Complainant is a student and the Respondent a faculty or staff member; (b) the Complainant is a faculty member and the Respondent a staff member; (c) the Complainant is a staff member and the Respondent a faculty member; or (d) the Complainant and Respondent are faculty members.

Outcomes

If the informal or formal complaint process results in a determination that sexual harassment occurred, the findings and recommendations shall be referred to the appropriate University official for imposition of corrective action, including sanctions that the official is authorized to impose. Sanctions may include, but are not limited to, oral or written warning, suspension, expulsion, termination of employment, or institution of tenure revocation proceedings under the provisions of the Faculty Code. The University may impose interim corrective action at any time following a complaint, if doing so reasonably appears required to protect a member of the University community.

Redress of disciplinary action

Nothing in this policy or these procedures shall be deemed to revoke any right that any member of the University community may have to seek redress of a disciplinary action, such as a faculty member's right to maintain a grievance under the Faculty Code.

Confidentiality

The Coordinator and other investigators and decision-makers will strive to maintain confidentiality to the full extent appropriate, consistent with the need to resolve the matter effectively. The parties, persons interviewed in the investigation, persons notified of the investigation, and persons involved in the proceedings will be advised of the need for discretion and confidentiality. Inappropriate breaches of confidentiality may result in disciplinary action.

Retaliation

Retaliation against a person who reports, complains of, or provides information in a sexual harassment investigation or proceeding is prohibited. Alleged retaliation will be subject to

investigation and may result in disciplinary action up to and including termination or expulsion.

False claims

A person who knowingly makes false allegations of sexual harassment, or who knowingly provides false information in a sexual harassment investigation or proceeding, will be subject to disciplinary action.

Time limits

The University aims to administer this policy and these procedures in an equitable and timely manner. Persons making allegations of sexual harassment are encouraged to come forward without undue delay. Established time limits may be extended for good cause, upon request.

Interpretation of policy

All questions regarding interpretation of this policy and these procedures shall be resolved by the Office of the Vice President and General Counsel.

Appendix A: Consultation Procedure

1. The consultation consists of one or more meetings between the Coordinator and the person who requests the consultation.
2. The Coordinator will take action that he or she deems appropriate, based on the consultation. For example, the Coordinator may clarify and resolve the matter with the person, recommend counseling or other assistance, or determine that no further action is necessary.
3. The Coordinator will prepare a record of the consultation, which will be maintained by the Office of the Vice President and General Counsel. The record will be considered confidential to the full extent consistent with the University's need to take preventive and corrective action.
4. When the Coordinator has reason to believe that criminal conduct may have occurred or that action is necessary to protect the health or safety of any individual, the University may, as the Office of the Vice President and General Counsel determines, refer the matter to appropriate authorities.
5. Although consultation may be requested and an informal complaint pursued within any reasonable time after the events giving rise to the consultation or informal complaint, persons who believe they have been subjected to or who otherwise have observed sexual harassment are encouraged to seek assistance from the University through these procedures promptly.

Appendix B: Informal Complaint Procedure

1. A person who requests consultation (the "Complainant") may pursue an informal complaint.
2. The Coordinator will ask the Complainant to provide a factual account of the alleged harassment. The Coordinator may request and assist the Complainant to prepare a signed statement. If the Complainant declines to provide a signed statement, the Coordinator will prepare a written summary of the Complainant's oral allegations.
3. Upon initiating an investigation, the Coordinator will inform University officials who would be charged with recommending corrective and disciplinary action ("responsible University officials") of the informal complaint and investigation.
4. The Coordinator will notify the person accused of sexual harassment (the "Respondent") that a complaint has been made.
5. The Coordinator will investigate the complaint as promptly as circumstances permit. During the investigation, the Coordinator will advise the Complainant, Respondent, and persons interviewed or notified about the complaint of the need for discretion and confidentiality.
6. Upon concluding the investigation, the Coordinator will prepare findings and recommendations. These may address resolution of the matter and/or suggest corrective or disciplinary action.
7. The Coordinator will forward the findings and recommendations to the University official responsible for implementing corrective or disciplinary action. Corrective or disciplinary action shall be within the discretion and consistent with the authority of the responsible University official.

8. A responsible University official will notify the parties of the disposition of the investigation, to the extent consistent with the party's role (student, staff or faculty member), University policies, appropriate considerations of privacy and confidentiality, and applicable law.

Appendix C: Formal Complaint Procedure -- Special Panels

A. Initiation of special panel procedure

1. If a formal complaint is governed by the special panel complaint procedure, the party requesting to proceed with a formal complaint must file a written request with the Coordinator. The request must be filed within 15 business days after receipt of information from a responsible University official of the disposition of the informal complaint process (See Appendix B). The written request for a formal hearing must include a statement that explains why the Coordinator's disposition of the matter should be modified or overturned, and a statement of the relief requested.
2. The Coordinator will send a copy of the written request to proceed with a formal complaint to the responding party and the Associate Vice President for Human Resources (or designee).
3. An aim of the special panel process is to complete, if feasible, the formal complaint procedure within 45 business days of the Coordinator's receipt of the formal complaint request.

B. Establishment of special panels

1. A complaint filed under Appendix C will be heard by a five-member panel selected by the Associate Vice President for Human Resources (or designee), as described in Section C. Panelists will be selected from a pool of 18, of whom the Vice President for Student and Academic Support Services appoints six students; the Vice President for Academic Affairs, in consultation with the Council of the Deans and the Faculty Senate Executive Committee, appoints six faculty members; and the Vice President for Administrative and Information Services appoints six staff employees. In making appointments, appointing officials shall take into account continuity of service and familiarity with sexual harassment issues.

2. Each appointee to the pool ordinarily will serve a two year term. The appointing official should stagger the appointments so that, if feasible, the terms of not more than three of his or her appointees expire in any year.
3. An appointee to the pool may be removed and replaced at any time, at the discretion of the appointing official. The appointing official should promptly fill vacancies in the pool.
4. The Assistant Vice President in the Office of Faculty Recruitment and Personnel Relations, the Dean of Students, and the Director of the Office of Equal Employment Activities, or their designees, will conduct mandatory training of all appointees to the pool at the time of appointment and periodically thereafter. Training will address roles and responsibilities of panel members, complaint procedures, applicable policies, and other techniques and standards pertinent to the complaint and hearing process.

C. Selection of panel

1. Within five business days of receiving the written request to proceed with a formal complaint (see A.2, above), the Associate Vice President for Human Resources (or designee) will appoint the five-member panel from the pool, as follows: two panelists from the Complainant's status group (faculty, student or staff); two panelists from the Respondent's status group (staff or faculty member); and one panelist from the remaining status group. If Complainant and Respondent are from the same status group, the fifth panelist will be from that status group. Within the five-day period, the Associate Vice President for Human Resources (or designee) will notify the Coordinator of the names of the special panel members.
2. The Coordinator will notify the parties of the panelists' names. Within three business days of receipt of the notice, either party may submit to the Associate Vice President for Human Resources a written objection to designation of any panel member. The objection must clearly state the reasons for the

objection. The Associate Vice President may, at his or her discretion, replace a challenged panelist with another member of the pool from the same status group.

3. A designated panelist who has or may reasonably be perceived as having a conflict of interest or is otherwise unable to serve on a special panel shall recuse himself or herself, and notify the Associate Vice President for Human Resources of the recusal.

D. Special panel organization

1. Within five business days after their appointment, special panel members will select a chairperson and review the request for a hearing.
2. The special panel may request clarification or additional information from the Coordinator or the parties, to assist in deciding whether to grant the request. Panel members may not communicate with either party outside the presence of the other party.

E. Summary decision

1. If the special panel determines that the reasons presented for overturning or modifying the findings or recommendations of the Coordinator lack substantial merit, it may, by majority vote of the panel, issue a summary decision that denies the request for a hearing and affirms the informal complaint process.
2. If the special panel denies the request for a hearing, its decision must be in writing and state the reasons for denial. The special panel will provide copies of its decision to the Coordinator, the University official responsible for implementing corrective or disciplinary action (which official shall, to the extent the official deems appropriate, provide copies to parties), and the Associate Vice President for Human Resources.
3. Within ten business days after receiving the special panel summary decision, the party who requested the hearing may appeal the decision to the Associate Vice President for Human Resources. The appeal must be in

writing and set forth reasons why the decision should be overturned.

4. The Associate Vice President for Human Resources will review the record, including the request for hearing, the special panel summary decision, and the appeal. If the Associate Vice President determines that the special panel substantially complied with applicable procedures for summary denial of the request for a hearing, he or she must affirm the special panel decision.
5. If the Associate Vice President determines that the special panel summary decision was not made in substantial compliance with applicable procedures, he or she will appoint a new special panel from the remaining members of the special panel pool, in accordance with section C above. The new panel may issue a summary decision or proceed with the hearing process.

F. Scheduling hearing

1. If the special panel grants the request for a hearing, it will set a hearing date and time. If a new special panel is appointed to conduct a hearing after a summary decision is overturned, the panelists will meet within a reasonable time, normally within five business days after their appointment, to select a chairperson and set the hearing date and time. The hearing will be held within a reasonable time, normally 20 business days, after the special panel is appointed.
2. The special panel chairperson will notify the parties of the hearing date, time, and location at least seven business days before the hearing. Within two business days after receiving notice of the hearing, a party with a scheduling conflict may submit to the chairperson a request for postponement. The chairperson, after consulting the special panel members, has discretion to reschedule the hearing. All parties will be notified as soon as feasible if the hearing is rescheduled.
3. If a party does not appear for the hearing within 30 minutes after the scheduled time, the special panel

will decide whether to reschedule the hearing or proceed.

G. Conduct of hearing

1. The special panel chairperson will preside at the hearing and decide procedural issues. The hearing will be conducted in the following sequence:
 - (a) Preliminary matters. The chairperson will introduce the parties, their counsel or advisors, and the special panel members; review the order of proceedings; explain procedures that govern use of the tape recorder; and present a brief summary of the complaint.
 - (b) Opening statements. The party who requested the hearing may make an opening statement. The responding party may then make an opening statement. Each opening statement shall not exceed 15 minutes.
 - (c) Presentation of complaint. The party who requested the hearing may present to the panel testimony, witnesses, documents or other evidence. Following the testimony of the party who requested the hearing, and of each witness, the responding party may ask questions.
 - (d) Response to complaint. The party who responded to the complaint may present testimony, witnesses, documents or other evidence to the panel. Following the testimony of the responding party, and of each witness, the party who requested the hearing may ask questions.
 - (e) Closing statements. The party who requested the hearing may make a closing statement. The responding party may then make a closing statement. Each closing statement shall not exceed 15 minutes.
2. Special panel members may ask questions of parties or witnesses at any time during the hearing.

3. The hearing will not be conducted according to strict rules of evidence. However, the special panel chairperson may limit or exclude irrelevant or repetitive testimony, and may otherwise rule on what evidence may be offered.
4. When the hearing cannot be completed in one session, the special panel chairperson may continue the hearing to a later date and time.
5. The hearing will be recorded on audiotape. Either party may obtain from the Coordinator a copy of the recording at reasonable cost, on written request.

H. Witnesses

1. Each party may ask witnesses to testify at the hearing, but no person may be compelled to testify.
2. At least three business days before the hearing, each party must provide the Coordinator and the other party a list of witnesses he or she intends to present at the hearing.
3. The special panel may request that additional witnesses appear. The Coordinator will, if feasible, arrange for the appearance of these witnesses.
4. Each party is responsible for notifying its witnesses of the hearing date, time, and location. A hearing will not necessarily be postponed because a witness fails to appear.
5. All witnesses will be excluded from the hearing before and after their testimony. A witness may be recalled at the discretion of the special panel chairperson.
6. A University employee must obtain permission from his or her supervisor to be absent from work to appear at a hearing. Employees will be paid while appearing at a hearing during working hours, but not for other time spent on the complaint during or outside working hours.
7. A student must obtain permission from his or her professor to be absent from class to appear at a hearing.

8. Supervisors and professors should be aware of the importance of hearings and not unreasonably withhold permission to appear at a hearing. If an employee or student needs assistance in obtaining permission to appear at a hearing, he or she should contact the Coordinator.

I. Advisors

1. Each party may be accompanied by an advisor, who may be a University employee, attorney, or another person the party selects.
2. The advisor may not speak on behalf of the party, make an opening or closing statement, present testimony or examine witnesses. The advisor's role is limited to assisting the party prepare for the hearing and providing the party private advice during the hearing.
3. Notwithstanding the preceding paragraph, when a party is a faculty member and has active representation, the other party will also be allowed active representation. In that event the attorney or other advisor may (but shall not be required to) speak on behalf of the party, make opening and closing statements, and examine witnesses.
4. A Complainant or Respondent who plans to be accompanied by an attorney or other advisor at the hearing must notify the Coordinator and the other party at least five business days before the hearing.
5. The special panel may request or the University may provide a University-furnished attorney or other advisor to be present at any hearing to advise the special panel.
6. The University may have an observer present at any hearing.

J. Decision after hearing

1. After the hearing, the special panel will meet in closed session to review the hearing and make a decision on the complaint, by the preponderance of the evidence. The decision must be approved by a majority

of special panel members. If the special panel concludes that sexual harassment occurred, it may recommend corrective or disciplinary action. The recommendation must be approved by a majority of the special panel members.

2. The special panel report of its decision must be in writing and set forth findings of fact, conclusions, and, where appropriate, recommendations for corrective or disciplinary action.
3. The special panel will submit the report of its decision to the Associate Vice President for Human Resources within ten business days after the hearing ends.
4. If the special panel decision concludes that sexual harassment occurred, the Associate Vice President for Human Resources will forward a copy of the special panel report to a University official responsible for implementing corrective or disciplinary action. After reviewing the special panel report a responsible University official will make the final decision regarding corrective or disciplinary action, consistent with that official's authority. A responsible University official will notify the parties of the disposition, to the extent consistent with the party's role (student, staff or faculty member), University policies, appropriate considerations of privacy and confidentiality, and applicable law. A responsible University official may, in his or her discretion, send a copy of the report to the parties (at their home addresses of record, by courier, overnight mail or certified mail, return receipt requested). The report sent to the parties may omit portions, to maintain consistency with University policies regarding confidentiality.

K. Review of special panel decision

1. A party dissatisfied with a special panel decision may submit a request for review to the Associate Vice President for Human Resources, who will transmit the request to the vice president(s) responsible for oversight of the status groups to which the parties

belong. For example, when the Complainant is a staff member and the Respondent a faculty member, the Vice President for Administrative and Information Services and the Vice President for Academic Affairs will jointly review the matter; when Complainant and Respondent are both faculty members, the Vice President for Academic Affairs will review the matter.

2. The request for review must be in writing and set forth reasons why the special panel decision should be modified or overturned. The review must be based on the hearing record and may not present new evidence or testimony.
3. The request for review must be submitted within 15 business days of the party's receipt of the special panel decision. If the request is not received by then, the special panel decision will be the final University decision on the complaint.
4. The vice presidents will strive to issue a final decision on the review within 20 business days following submission of the request for review. The decision of the vice presidents shall be the final decision on the complaint within the University.
5. When the special panel decision is final, or when the final decision on a review is issued, the Coordinator will provide a copy of it to the University official(s) responsible for implementing corrective or disciplinary action. Any corrective or disciplinary action taken shall be within the discretion and consistent with the authority of the responsible University official.

Campus Resources for Equal Opportunity Issues

All Equal Opportunity Issues (including sexual harassment)

University:

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Associate Vice President for Human Resources and Counsel
Office of the Vice President for Administrative and Information Services
(202) 994-4433

Faculty:

Annie Wooldridge
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Office of Faculty Recruitment and Personnel Relations
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Linda Donnels
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Office of the Dean of Students
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Sexual Harassment

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